

SUBJ: AIRCRAFT ACCIDENT AND INCIDENT NOTIFICATION, INVESTIGATION, AND REPORTING

- 1. PURPOSE.** This change transmits revised pages to the Table of Contents; Chapter 1, General; Chapter 2, FAA Elements involved in Notification, Investigation, and Reporting; Chapter 3, Air Traffic and Other Initial Notification and Reporting Responsibilities; and Appendix 2, Examples of Formal Accident Package and Other Forms Used by Air Traffic Service.
- 2. DISTRIBUTION.** This order is distributed to all Assistant Administrators, Associate Administrators, and heads of offices and services; division level in the offices of Labor and Employee Relations, Personnel, and Environment and Energy; branch level in the offices of Chief Counsel, International Aviation, Public Affairs, Airport Safety and Standards, Civil Aviation Security, Accident Investigation, Aviation Medicine; Aircraft Certification and Flight Standards Services; Air Traffic Airspace Management Program, Planning and Procedures Program, and Resource Management Program; NAS Transition and Implementation; NAS Operations; and Aviation System Standards; regional division level in Operations Center, Regional Counsel, International Aviation Officer, and Public Affairs; regional branch level in Human Resource Management, Certification Directorates, Flight Standards, Aviation Medical, Airway Facilities, Air Traffic, Airports, and Civil Aviation Security; Aeronautical Center division level in Operations Center, Center Counsel, and Public Affairs; and branch level in Civil Aviation Security, Human Resource Management, and FAA Academy; Technical Center division level in Operations Center, Center Counsel, Public Affairs, Civil Aviation Security, and Human Resource Management; and a standard distribution to all field offices and facilities.
- 3. EFFECTIVE DATE.** May 12, 2003.
- 4. EXPLANATION OF CHANGES.** This change:
 - a. Incorporates editorial changes;
 - b. Updates Air Traffic procedures related to notification and reporting of accidents and incidents including: transmission of the preliminary accident message (FAA Form 8020-9); numbering of accident packages and file; data collection and certification; clarification of FAA Form 8020-6 procedures; airspace terminology; and spillouts (see Chapter 3); and
 - c. Reflects recent organizational and procedural changes.

- 5. DISPOSITION OF TRANSMITTAL.** Retain this transmittal until superseded by a new basic order.

PAGE CONTROL CHART

Remove Pages	Dated	Insert Pages	Dated
iii and iv08/16/00	iii and iv05/12/03
xi and xii08/16/00	xi and xii05/12/03
5 thru 6.08/16/00	5 thru 6.05/12/03
203 thru 20608/16/00	203 thru 20605/12/03
301 thru 346 (thru 400)08/16/00	301 thru 350 (thru 400)05/12/03
Appendix 2, 1 thru 6608/16/00	Appendix 2, 1 thru 10205/12/03

Steven B. Wallace
Director, Office of Accident Investigation

TABLE OF CONTENTS

	<u>Page No.</u>
CHAPTER 1. GENERAL	1
1. Purpose	1
2. Distribution	1
3. Cancellation	1
4. Explanation of Changes	1
5. Definitions	2
6. Forms and Reports	6
7. Authority to Change This Order	7
8. FAA Responsibilities in Aircraft Accident Investigations	7
9. Responsibilities of Regional Divisions and Aircraft Certification Directorates in Aircraft Accident Investigations	8
10. FAA and NTSB Accident and Incident Investigation Agreements	8
11. Post-Accident or Incident Drug Testing	9
12. FAA Investigator-In-Charge (IIC)	9
13. FAA Participants	10
14. Other FAA Personnel	10
15. FAA Safety Recommendation Program	10
16. Training	12
17. Regional Supplements	12
18. - 29. RESERVED	12
 CHAPTER 2. FAA ELEMENTS INVOLVED IN NOTIFICATION, INVESTIGATION, AND REPORTING	 201
30. Office of Accident Investigation	201
31. Operations Centers	203
32. Air Traffic Service	203
33. Flight Standards Service	203
34. Aviation System Standards	204
35. Air Traffic Resource Management Program	205
36. Office of Runway Safety	205
37. Office of Aviation Medicine	205
38. Airway Facilities Service	205
39. Office of Airport Safety and Standards	205
40. Office of The Chief Counsel	205
41. Associate Administrator for Civil Aviation Security	205
42. Aircraft Certification Service	206
43. Office of Public Affairs	206
44. Office of International Aviation	206
45. Office of Commercial Space Transportation	206
46. - 59. RESERVED	207

**CHAPTER 3. AIR TRAFFIC AND OTHER INITIAL NOTIFICATION
AND REPORTING RESPONSIBILITIES**

Page No.

	301
60. General	301
60-1 FAA Contract Tower	301
61. Operations Centers	301
62. Notification of Other Operations Centers	302
63. National Transportation Safety Board	303
64. Air Traffic Aircraft Accident and Incident Notification and Reporting	303
65. Completing and Transmitting FAA Form 8020-9, Aircraft Accident/ Incident Preliminary Notice	305
66. Military Notification of FAA When FAA is Involved in a Military Aircraft Accident	308
67. Determination of Air Traffic Facility Responsible for Final Data Collection	309
68. Numbering of Air Traffic Formal Accident File/Package and Informal Accident Package	310
69. Facilities Providing Normal or Routine Services	310
70. Formal Accident File/Package Data Collection	311
71. Data Collection and Certification by Selected Facilities	313
72. Content, Assembly, and Distribution of Formal Accident Package	315
73. Content of Informal Accident File	319
74. FAA Form 8020-6, Report of Aircraft Accident	320
75. Personnel Statements	322
76. Re-recording of Voice Recordings	324
77. Transcription of Voice Recordings	326
78. Retention of Voice Recordings	328
79. Retention and Disposal of Aircraft Accident Records	330
80. Air Traffic Incident Notification and Reporting	332
81. Near Midair Collisions (NMAC)	333
82. U.S. Air Force (USAF) Hazardous Air Traffic Reports (HATR)	336
83. U.S. Army Operational Hazard Reports (OHR)	338
84. Pilot Deviations	340
85. FAA Form 8020-11, Incident Report	344
86. Vehicle and Pedestrian Deviations	345
87. Emergency Evacuations	347
88. Parachute-Jumping Incidents	347
89. Miscellaneous Incidents	348
90. Flight Standards	348
91. Aircraft Operator	349
92. Aircraft Certification Offices	349
93. Foreign Air Carriers	350
94. - 109. RESERVED	350

	<u>Page No.</u>
441. AST Mishap Notification and Response Handbook	1221
442. Reporting Requirements	1221
SECTION 3. INVESTIGATION	1225
443. Responsibility	1225
444. AST Investigative Role	1226
445. AST Investigative Authority	1226
446. Procedures	1227
447. - 460. Reserved	1229
Figure 12-1. AST Related Mishap Notification Process (Expanded)	1233
Figure 12-2. Example of AST Mishap Report Worksheet	1234
APPENDIX 1. GENERAL INFORMATION FOR AIRCRAFT ACCIDENT AND INCIDENT NOTIFICATION, INVESTIGATION, AND REPORTING	1
PART 1. LIST OF CURRENT FORMS	3
a. FAA Forms	3
b. NTSB Forms	6
c. Other Forms	6
PART 2. MILITARY AIRCRAFT ACCIDENT INFORMATION	7
a. Military Safety Center Addresses	7
b. Message Format for FAA Participation in Investigation	8
PART 3. FAA AND NTSB MAPS	9
a. FAA Regional Boundaries	9
b. FAA International Jurisdictions	10
c. NTSB Aviation Regional and Field Offices	11
PART 4. AIRCRAFT CERTIFICATION DIRECTORATES AND THEIR RESPONSIBILITIES	13
a. Transport Airplane Directorate (14 CFR 25)	13
b. Small Airplane Directorate (14 CFR 23)	14
c. Engine and Propeller Directorate (14 CFR 33 and 35)	18
d. Rotorcraft Directorate (14 CFR 27 and 29)	19
e. Geographical Responsibilities for Civil Aeronautical Product Certification in Foreign Countries	19
PART 5. INVESTIGATION EQUIPMENT	21

PART 6. FORM USED BY REGIONAL AIRPORTS DIVISION:

FAA Form 8020-25, Investigation of Vehicle or Pedestrian Deviation Report	23
--	----

**APPENDIX 2. EXAMPLES OF FORMAL ACCIDENT PACKAGE AND
OTHER FORMS USED BY AIR TRAFFIC**

1

PART 1. FORMAL ACCIDENT PACKAGE

1

a. Accident Package Labeling	2
b. Package Divider Sheet	4
c. Table of Contents	6
d. FAA Form 8020-6, Report of Aircraft Accident	10
e. FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet)	12
f. Certified Indexes	22
g. Normal Service Statements	24
h. FAA Form 7230-4, Daily Record of Facility Operation	38
i. Personnel Logs	42
j. FAA Form 7230-10, Position Logs (or Automated Equivalent)	46
k. Facility Layout Chart	52
l. Airport Diagram	56
m. Flight Progress Strips (State Form Numbers and Names of Each)	60
n. Transcriptions of Voice Recordings	64
o. FAA Form 8020-3, Facility Accident Notification Record	76
p. Personnel Statements	80
q. Weather Products	88
r. Non-published NOTAM's	90
s. FAA Form 7233-2, Preflight Briefing Log (or Automated Equivalent)	90
t. FAA Form 7233-1, Flight Plan (or Automated Equivalent)	90
u. Other	90

PART 2. INCIDENT FORMS

91

a. FAA Form 8020-21, Preliminary Near Midair Collision Report	91
b. FAA Form 8020-17, Preliminary Pilot Deviation Report	94
c. FAA Form 8020-19, Reclassification of Aviation Incident Report	97
d. FAA Form 8020-11, Incident Report	98
e. FAA Form 8020-24, Preliminary Vehicle or Pedestrian Deviation Report	99

y. Pilot Deviation - the actions of a pilot that result in the violation of a Federal Aviation Regulation or a North American Aerospace Defense (Command Air Defense Identification Zone) tolerance.

z. Public Aircraft - an aircraft used only for the United States Government, or owned and operated (except for commercial purposes), or exclusively leased for at least 90 continuous days, by a government (except the United States Government), including a State, the District of Columbia, or a territory or possession of the United States, or political subdivision of that government; but does not include a government-owned aircraft transporting property for commercial purposes, or transporting passengers other than transporting (for other than commercial purposes) crewmembers or other persons aboard the aircraft whose presence is required to perform, or is associated with the performance of, a governmental function such as firefighting, aeronautical research, or biological or geological resource management; or transporting (for other than commercial purposes) persons aboard the aircraft if the aircraft is operated by the Armed Forces or an intelligence agency of the United States. An aircraft described in the preceding sentence shall, notwithstanding any limitation relating to use of the aircraft for commercial purposes, be considered to be a public aircraft for the purpose of this part without regard to whether the aircraft is operated by a unit of government on behalf of another unit of government, pursuant to a cost reimbursement agreement between such units of government, if the unit of government on whose behalf the operation is conducted certifies to the Administrator of the Federal Aviation Administration that the operation was necessary to respond to a significant and imminent threat to life or property (including natural resources) and that no service by a private operator was reasonably available to meet the threat.

aa. Runway Incursion - any occurrence at an airport involving an aircraft, vehicle, person, or object on the ground that creates a collision hazard or results in loss of separation with an aircraft taking off, intending to take off, landing, or intending to land. **NOTE:** There are three categories of runway incursions: operational error, pilot deviation, or vehicle/pedestrian deviation.

bb. Serious Injury - any injury which: (1) requires hospitalization for more than 48 hours, commencing within 7 days from the date an injury was received; (2) results in a fracture of any bone (except simple fractures of fingers, toes, or nose); (3) causes severe hemorrhages, or nerve, muscle, or tendon damage; (4) involves any internal organ; or (5) involves second- or third-degree burns, or any burns affecting more than 5 percent of the body surface.

cc. Substantial Damage - damage or failure which adversely affects the structural strength, performance, or flight characteristics of the aircraft, and which would normally require major repair or replacement of the affected component. Engine failure or damage limited to an engine if only one engine fails or is damaged, bent fairings or cowling, dented skin, small punctured holes in the skin or fabric, ground damage to rotor or propeller blades, and damage to landing gear, wheels, tires, flaps, engine accessories, brakes, or wing tips are not considered substantial damage for the purpose of this order.

dd. Surface Incident - any event during which unauthorized or unapproved movement occurs within the movement area or an occurrence in the movement area associated with the operation of an aircraft that affects or could affect the safety of flight.

ee. Survivable Accident - an accident in which the cockpit and/or structure remains relatively intact and the forces experienced by the occupants did not exceed or should not have exceeded the survivable limits of human G-tolerance. Such an accident is classified as survivable even if some or all occupants were fatally injured. (**NOTE:** the investigator makes his or her greatest contribution to air safety by documenting the reasons why aircraft occupants were fatally or seriously injured in survivable accidents.)

ff. U.S.-Accredited Representative - an individual accredited to represent the United States in foreign accident or incident investigations.

gg. Ultralight Vehicle - a vehicle that:

- (1) Is used or intended to be used for manned operation in the air by a single occupant;
- (2) Is used or intended to be used for recreation or sport purposes only;
- (3) Does not have a U.S. or foreign airworthiness certificate;
- (4) If unpowered, weighs less than 155 pounds; or
- (5) If powered:
 - (a) Weighs less than 254 pounds empty weight, excluding floats and safety devices which are intended for deployment in a potentially catastrophic situation;
 - (b) Has a fuel capacity of not exceeding 5 U.S. gallons;
 - (c) Is not capable of more than 55 knots calibrated airspeed at full power in level flight; and
 - (d) Has a power-off stall speed which does not exceed 24 knots calibrated airspeed.

hh. Vehicle or Pedestrian Deviation - any entry or movement on the airport movement area by a vehicle operator or pedestrian that has not been authorized by air traffic control (includes surface incidents involving aircraft operated by nonpilots, such as mechanics).

6. FORMS AND REPORTS. FAA, NTSB, and other forms used for aircraft accident and incident notification, investigation, and reporting are listed in Appendix 1, Part 1, List of Current Forms. Selected, completed examples of these forms can be found in Appendix 2, Examples of Formal Accident Package and Other Forms Used by Air Traffic; and Appendix 3, Examples of Forms and Procedures Used by Flight Standards Service.

(8) Serves as the program manager to provide support and curriculum guidance to TSI's Aircraft Accident Investigation courses.

(9) Provides analytical and research support for litigation for the Office of the Chief Counsel.

(10) Serves as the focal point for NTSB requests other than on-scene requests.

31. OPERATIONS CENTERS. Operations centers alert appropriate offices and assist in the notification process for aircraft accidents and incidents and FAA licensed commercial space activities. When requested, a center establishes communication conferences to obtain, analyze, and disseminate information on accidents and incidents so that all FAA levels are kept informed and decision-making can proceed in a timely manner.

32. AIR TRAFFIC SERVICE. Air Traffic Service participates in the investigation of aircraft accidents and incidents when FAA air traffic control (ATC) or aeronautical communications facilities are involved. Regional Air Traffic (AT) division managers are responsible for ensuring that incidents in their assigned area that involve only AT functions are investigated and reported in a manner that ensures the proper discharge of FAA responsibilities. These same requirements pertain to private, non-Federal facilities. If a facility is operating within the NAS, it must comply with the same rules and regulations as the Federal facility.

33. FLIGHT STANDARDS SERVICE. Flight Standards Service participates in the investigation of aircraft accidents and incidents through the regional Flight Standards (FS) divisions and the Flight Standards District Offices (FSDO).

a. Regional Flight Standards Division.

(1) The manager of the regional FS division is responsible for ensuring that aircraft accidents and incidents that occur in the division's geographical area are investigated and reported to ensure the proper discharge of FAA responsibilities. If an incident involves only AT functions, i.e., AT operational errors or deviations, the regional AT division manager shall assume responsibility for the required investigative and reporting responsibilities in accordance with the latest edition of Order 7210.56, Air Traffic Quality Assurance.

(2) When an aircraft accident or incident occurs in one region's geographical area, but the aircraft continues flight to/through the airspace of another FAA region prior to flight termination, the FS division in the region when the aircraft first lands following the occurrence is responsible for ensuring the accomplishment of FAA responsibilities, except for pilot deviations (see paragraph 84).

(3) The FS division manager also shall:

(a) Determine which accident or incident report files are required and where they should be located to fulfill the division's responsibility.

(b) Include estimates for investigation costs in the annual budgetary "call for estimates."

(c) Submit quarterly reports to the Planning, Information, and Analysis Program, ATX-400, on the NMAC and pilot deviation reports received in the preceding quarters, the status of those reports, and the status of reports open at the beginning of the preceding quarter (see paragraph 260).

b. Flight Standards District Office (FSDO).

(1) The FSDO responsible for the geographical location of an accident or incident is responsible for investigating and reporting such accidents or incidents as assigned by the manager of the regional FS division (see paragraph 33a(2) on multiple region investigation responsibility).

(2) The type of response for accident and incident investigations will vary by type of occurrence and other factors, from delaying departure to the following day to initiating a major investigation immediately.

c. Aviation Data Systems Branch. The Aviation Data Systems Branch, AFS-620, serves as the FAA focal point for the receipt and encoding of general aviation and air carrier accident and incident reports, except for operational errors, near midair collisions, pilot deviations, and vehicle and pedestrian deviations, all of which are maintained by ATX-400. AFS-620 also serves as the office of primary interest for the accident/incident data system. Reports/incidents which meet runway incursion criteria are analyzed and tracked by the Office of Runway Safety, ARI-1, and maintained in its database.

34. AVIATION SYSTEM STANDARDS.

a. Program Director of Aviation System Standards shall ensure that the appropriate Aviation System Standards elements assign personnel to participate in the investigation of accidents and incidents that involve FAA aircraft. The purpose for this participation is to identify noncompliance with and/or inadequacies in FAA standards, policies, and supervision related to the operation and maintenance of FAA aircraft. Additional investigative guidelines are in the latest edition of Order 4040.9, FAA Aircraft Management Program. Aviation System Standards personnel shall report the findings and recommendations to their assigning element. A copy of their report will also be given to the FAA IIC. A verbal report summary and any recommendations will be made to the FAA IIC as soon as possible.

b. Flight Inspection Central Operations Office, AVN-250, shall:

(1) Determine, with the FAA IIC, if flight inspection of facilities shall be made after an accident or incident.

(2) Respond to the FAA IIC or AFAAR requests for flight inspection of facilities.

(3) Ensure that arrangements are made with the appropriate Flight Inspection Office or the International Flight Inspection Office for flight inspection of facilities.

35. AIR TRAFFIC RESOURCE MANAGEMENT PROGRAM. The Air Traffic Resource Management Planning, Information, and Analysis Program, ATX-400, is responsible for collecting, automating, and analyzing operational error, near midair collision, pilot deviation, and vehicle and pedestrian deviation reports.

36. OFFICE OF RUNWAY SAFETY. The Office of Runway Safety, ARI-1, is responsible for evaluating all surface incident reports and making a determination as to whether or not the incident meets runway incursion criteria. Additionally, ARI-1 tracks and maintains all runway incursion data in the Office of Runway Safety database.

37. OFFICE OF AVIATION MEDICINE. The Office of Aviation Medicine provides the expertise to support FAA in the investigation of medical aspects of aircraft accidents. The purpose of this participation is to provide support in the area of accident causation related to pilot incapacitation and also in the area of "crash injury" analysis. The Office of Aviation Medicine will continue to provide pathological and toxicologic services to NTSB without reimbursement in accordance with the existing Memorandum of Agreement between FAA and NTSB.

38. AIRWAY FACILITIES SERVICE. Airway Facilities Service participates in the investigation of aircraft accidents and incidents with respect to the functions of all air navigation facilities, i.e., all ATC facilities and systems as defined in Title 49 United States Code.

39. OFFICE OF AIRPORT SAFETY AND STANDARDS. The Office of Airport Safety and Standards participates in aircraft accident and incident investigations when airport functions are involved. The regional Airports division is responsible for the investigation and completion of reports (FAA Form 8020-25, Investigation of Vehicle or Pedestrian Deviation Report) on all vehicle and pedestrian deviations at airports certificated under 14 CFR Part 139 (see paragraphs 161d and 263). The regional Airports division manager shall submit quarterly reports to ATX-400 on the vehicle and pedestrian deviation reports received in the preceding quarter, the status of those reports, and the status of reports open at the beginning of the preceding quarter (see paragraph 241h).

40. OFFICE OF THE CHIEF COUNSEL. The Office of the Chief Counsel is responsible for all legal services required for FAA functions involved in the investigation of aircraft accidents and incidents and FAA licensed commercial space activities. The legal representative is responsible for all legal services required for FAA functions involved in the investigation of the types of aircraft accidents and incidents in paragraph 170.

41. ASSOCIATE ADMINISTRATOR FOR CIVIL AVIATION SECURITY. The Associate Administrator for Civil Aviation Security provides specialized technical and investigative assistance for enforcement or referral action for aircraft accidents and incidents and FAA licensed commercial space activities that directly involve hazardous material, atmospheric/radiological material, etiological contamination, or criminal activity. Examples include hijacking, sabotage, explosive incidents, forged certificates, drug trafficking, false markings, and

alien smuggling. Office personnel may also provide assistance in such matters as certification of security clearances, preparation of identification media, handling of classified information, and other matters.

42. AIRCRAFT CERTIFICATION SERVICE. Aircraft Certification Service is responsible for the safety of civil aircraft. This organization consists of the headquarters policy office and four special policy offices called "directorates." Each directorate is responsible for policy under Federal Aviation Regulations covering a particular category of aircraft or aeronautical part (see Appendix 1). The four directorates serve as "geographical directorates" and are responsible for all of the field offices within a geographical area. The field offices are responsible for:

- a. Issuing product-type certificates and other design approvals held by manufacturers in the responsible geographic area.
- b. Providing engineering specialists to assist in the investigation of aircraft accidents and incidents that raise questions of product design.
- c. Developing design-related corrective actions.

43. OFFICE OF PUBLIC AFFAIRS. The Office of Public Affairs and/or the appropriate regional/center Public Affairs staff respond to news media inquiries on FAA functions and responsibilities associated with an aircraft accident or incident or FAA licensed commercial space activity until the NTSB investigation team arrives at the scene. The NTSB becomes responsible for answering all media questions related to the accident itself, circumstances surrounding the accident, and its probable cause. For FAA investigations, media response is the responsibility of the headquarters Public Affairs staff (see Chapter 10).

44. OFFICE OF INTERNATIONAL AVIATION. The Office of International Aviation maintains a current list of countries to which the Department of State will not normally authorize travel by accident investigators unless explicit approval is first obtained from the Office of Aviation, Department of State. Also, when AAI-100 indicates interest in a foreign accident investigation in which the FAA is not entitled to participate under the Chicago Convention, the geographically responsible FAA international representative will, with the local U.S. embassy, attempt to secure an invitation for FAA participation from the civil aviation authority of the crash-scene country.

45. OFFICE OF COMMERCIAL SPACE TRANSPORTATION. The Office of the Associate Administrator for Commercial Space Transportation, as it pertains and relates to mishaps concerning FAA licensed commercial space activities, is responsible for:

- a. Developing FAA policy and negotiating and implementing memorandum of agreement(s) (MOA) between the FAA and other Federal, state, and local government agencies concerning the notification, response, and investigation of accidents, incidents, and other identified occurrences.

CHAPTER 3. AIR TRAFFIC AND OTHER INITIAL NOTIFICATION AND REPORTING RESPONSIBILITIES

60. GENERAL. In order to provide authorities in FAA, NTSB, or the military services with information on aircraft accidents and incidents, notification shall proceed as outlined in this chapter.

a. Any FAA employee who becomes aware of an aircraft accident or incident shall report the facts immediately to the nearest Air Traffic (AT) facility (center, terminal facility, automated flight service station (AFSS), or flight service station (FSS)).

b. Contact from points that are not readily accessible to an AT facility, such as those outside the United States, its territories, and possessions, shall be made through established channels; i.e., Department of State, the FAA Aeronautical Fixed Telecommunications Network, or by any expeditious means appropriate to the accident or incident circumstances.

c. FAA Form 8020-3, Facility Accident/Incident Notification Record, and FAA Form 8020-9, Aircraft Accident/Incident Preliminary Notice, are to be used by AT to initiate preliminary notification of aircraft accidents and aircraft incidents, except for emergency evacuations, which require FAA Form 8020-11, Incident Report. Do not use FAA Forms 8020-3 and 8020-9 for AT incidents (see paragraph 64 for description of aircraft accidents and aircraft incidents). If requested by the FSDO, FAA Form 8020-11 will also be completed for selected aircraft incidents.

d. FAA Form 8020-11, Incident Report; FAA Form 8020-17, Preliminary Pilot Deviation Report; FAA Form 8020-21, Preliminary Near Midair Collision Report; and FAA Form 8020-24, Preliminary Vehicle or Pedestrian Deviation Report, are to be used to report AT incidents (see paragraph 80 for description of AT incidents and Appendix 2 for copies of the forms).

60-1. FAA CONTRACT TOWER. Unless indicated in the following paragraphs, other FAA orders, or specifically directed by AAI-100, AAT-20 or the FAA IIC, in complying with this order, FAA Contract Towers (FCT) shall follow the same procedures as those outlined below for FAA Air Traffic facilities. This includes, but is not limited to, the preparation and retention of a formal or informal aircraft accident file. The FCT facility shall not forward their formal or informal aircraft accident files, other data, documents, information, notes, recordings, and/or rerecordings, etc., concerning an aircraft accident or incident to the FAA, except as provided in the following paragraphs.

61. OPERATIONS CENTERS. When a notification of an aircraft accident or incident or an Air Traffic incident is received from any source, the Regional Operations Center or Washington Operations Center operations officer shall contact the appropriate offices and representatives for conferences or briefings as necessary.

a. When the reported occurrence is one that requires regional or Washington notification in accordance with paragraphs 64 and 262, the regional operations officer shall set up a telephone conference between the appropriate offices and the notifying party.

b. When telephone notification of an occurrence indicates that the use of a navigational aid may have been involved, the regional operations officer shall confer with the Flight Inspection Central Operations Office, AVN-250, and the appropriate regional Airway Facilities (AF) division. Also, Aviation System Standards (AVN) shall be included whenever notification is received that an FAA aircraft is involved in an accident or incident.

c. The regional operations officer shall immediately notify the appropriate Aviation Medical division after receiving a report of a fatal aircraft accident or a report of an in-flight medical incapacitation of a cockpit crewmember.

d. The regional operations officer shall assist the FAA IIC in establishing conference calls to include the Washington Operations Center, NTSB, manufacturers, Air Traffic, Airway Facilities, Office of Airport Safety and Standards, Civil Aeromedical Institute, Aircraft Certification Directorates, and FAA William J. Hughes Technical Center, as necessary.

e. The Washington Operations Center operations officer compiles all the accident and incident messages received each day for the AAI-100 Duty Room. Each working day, AAI-100 telecopies to AFS-620 a list of accidents derived from the Washington Operations Center compilation.

f. The regional operations officer shall immediately notify the appropriate regional Airports division of accidents and incidents in their region.

g. The Washington Operations Center shall notify the Environment, Energy, and Employee Safety Division, AEE-200, within 4 hours of all incidents covered by Occupational Safety and Health Administration (OSHA) reporting requirements. These incidents include FAA fatalities and/or when three or more FAA employees are involved in an accident and hospitalized on an in-patient basis.

62. NOTIFICATION OF OTHER OPERATIONS CENTERS. Each regional operations officer shall provide information to other regional Operations Centers when events occurring in the regional operations officer's area of responsibility may be of concern to other regions or centers. These events include:

a. Accidents or incidents in which the aircraft operator's operating certificate is held by another region or in which another region has the certification responsibility for that aircraft.

b. Accidents or suspected accidents (overdue and missing aircraft) of aircraft that are carrying prominent persons from another region.

c. Accidents involving injuries or death of FAA personnel from another region.

d. Any other occurrences which, in the opinion of the Regional or Washington Operations Center operations officer, are of official interest.

63. NATIONAL TRANSPORTATION SAFETY BOARD.

- a. The NTSB will notify FAA immediately when it receives notification of an aircraft accident or incident from a non-FAA source.
- b. If NTSB intends to investigate the accident or incident, it will inform FAA. FAA will provide the FAA IIC's name, location, contact point, etc., to NTSB.
- c. Any NTSB requests and replies shall be kept in the AT aircraft accident or AT incident file.

64. AIR TRAFFIC AIRCRAFT ACCIDENT AND INCIDENT NOTIFICATION AND REPORTING. An aircraft accident or aircraft incident encompasses all problems related to the aircraft itself; e.g., accidents, emergency evacuations, and in-flight major component failures. An aircraft accident or aircraft incident differs from an AT incident, which includes NMAC's, pilot deviations, vehicle or pedestrian deviations, and other occurrences. AT incidents are discussed in paragraphs 80 to 89. Appendix 2 contains a flowchart summarizing the AT reporting process for aircraft accidents and aircraft incidents.

a. What to Report. AT facilities shall report:

(1) All known and suspected accidents. The Washington Operations Center shall be notified of accidents within 2 hours of the original accident report. An example of a suspected accident is the simultaneous unexplained loss of radio communications and radar contact with an aircraft.

(2) Accidents involving aircraft that departed a foreign country and whose first point of intended landing was in the United States or aircraft that departed the United States for a foreign country. For such accidents:

(a) The completion of FAA Form 8020-3 (see paragraph 64b) and FAA Form 8020-9 (see paragraph 65) shall conclude the initial notification procedures.

(b) If the aircraft accident occurs within the jurisdiction of the United States or while receiving services by an FAA AT facility, prepare a formal accident package in accordance with paragraph 70.

(3) All aircraft incidents, selected criminal acts reported to or by law enforcement agencies, emergency evacuations of aircraft, in-flight major component failures, and any incident that threatened or caused damage or injury to property, aircraft, or persons.

(4) The following special-emphasis accidents or incidents:

(a) Accidents involving well-known people, members of Congress, or Presidential or Vice Presidential aircraft. Secure communications will be used in reporting whenever either of the latter two individuals are on board the aircraft.

(b) Accidents in which hazardous materials are being transported.

(c) Accidents involving U.S.-manufactured aircraft of foreign registry which occur outside the United States, its territories, and possessions.

(d) Other accidents or incidents which the reporting facility or FSDO personnel believe warrant telephone notification of the Washington Operations Center or the Regional Operations Center.

(5) Overdue and missing aircraft when:

(a) Neither communication nor radar contact can be established and 30 minutes have passed since its estimated time of arrival over a specified or compulsory reporting point or at a clearance limit in your area, or its clearance void time.

(b) Information is received that search and rescue procedures have commenced for an aircraft that is not on a flight plan.

b. How to Report.

(1) The AT facility first receiving notification of a known accident or a suspected accident shall make and record initial notification using FAA Form 8020-3, which is a list of contacts (see Appendix 2). Managers shall ensure that copies of FAA Form 8020-3 with telephone numbers inserted are available. Notification to the nearest National Weather Service (NWS) of known or suspected accidents in which any person suffers death or serious injury or the aircraft received substantial damage is mandatory. Unless otherwise outlined in a letter of agreement between the respective region and the NWS, notify the nearest NWS office or forecast center. Initial notification is based on preliminary information. FAA Form 8020-3 is not used for AT incidents. See paragraphs 80 to 89 for reporting AT incidents.

(2) All AT facilities (except AFSS's or FSS's) having geographical jurisdiction over an airport that is supported by an AT facility and/or has a published instrument approach shall develop and maintain a current FAA Form 8020-3 for each such airport. FAA Form 8020-3 is not required for private airports not meeting the above criteria. Those facilities having part-time jurisdiction over airspace designated to another facility shall develop a separate FAA Form 8020-3 for each such facility. Example: Indianapolis Air Route Traffic Control Center (ARTCC) shall have an FAA Form 8020-3 for Evansville Airport Traffic Control Tower (ATCT) and all satellite airports.

(3) The AT facility shall complete and transmit FAA Form 8020-9 (see paragraph 65).

c. Air Traffic facilities shall notify the Air Traffic Investigations Division, AAT-200, of all known and suspected accidents within 2 hours of receiving the original accident report involving any of the following:

(1) Air carrier, air taxi, or commuter aircraft.

(2) Aircraft operating under instrument flight rules (IFR), or special visual flight rules (SVFR).

(3) For all other accidents, the determination of whether AAT-200 notification is necessary or required shall be based on the "level of AT service" (if any) which was being provided to the aircraft, including weather-related accidents when a weather briefing was provided within 24 hours of the accident. Weather briefings include FAA-contracted Direct User Access Terminal Systems (DUATS). The "level of AT service" is used to denote the amount and complexity of service being provided. The determination of the "amount of complexity" of AT service shall be based on the best assessment of the regional AT division in consultation with the facility. Although not all-inclusive, an example of minimum service may be a VFR arrival or departure to or from an airport in class D airspace. A higher level of service may be a separation, sequencing, and/or vectoring to a VFR aircraft within class B airspace.

(4) All aircraft incidents, selected criminal acts reported to or by law enforcement agencies, emergency evacuations of aircraft, and in-flight major component failures.

(5) Accidents involving well-known people, members of Congress, Presidential, or Vice Presidential aircraft. Secure communications will be used in reporting whenever either of the latter two individuals are on board the aircraft.

(6) Accidents in which hazardous materials are being transported.

(7) Overdue and missing aircraft when:

(a) Neither communication nor radar contact can be established and 30 minutes have passed since its estimated time of arrival over a specified or compulsory reporting point or at a clearance limit in your area, or its clearance void time.

(b) Information is received that search and rescue procedures have commenced for an aircraft that is not on a flight plan.

65. COMPLETING AND TRANSMITTING FAA FORM 8020-9, AIRCRAFT ACCIDENT/ INCIDENT PRELIMINARY NOTICE. Immediately after completing telephone notification using FAA Form 8020-3, the reporting AT facility shall compile the required information, complete FAA Form 8020-9, and transmit it. Terminal and/or terminal radar approach control (TRACON) facilities shall provide essential details to the AFSS or associated FSS for transmission of the message. Enter "unknown" for any item unavailable when the message is prepared; e.g., "C unknown."

a. Completing Form 8020-9.

(1) Complete part 1 of FAA Form 8020-9 for all accidents and/or suspected accidents.

(2) Complete part 2 of FAA Form 8020-9 when radio navigational aids, communications equipment, radar-automated systems, or approach lights may have been or were involved. Notify appropriate AF personnel of the facilities potentially involved and use data provided by them to complete FAA Form 8020-9, part 2.

(3) FAA Form 8020-9 shall be updated as new and/or amended information becomes available. Because it is a worksheet, these amendments shall be accomplished simply by placing a single line through the erroneous information and entering the new data. Examples of items commonly amended are the aircraft type, aircraft damage, and location and time of occurrence. For transmitting a second message, see paragraph 65c.

b. Transmitting Form Data (Preliminary Message).

(1) The appropriate ARTCC or AFSS shall transmit the Preliminary Notice message by National Airspace Data Interchange Network (NADIN) message using immediate (DD) precedence and shall also transmit by telephone or facsimile for significant accidents (e.g., involving air carriers, air taxis, media interest, or prominent persons) to the Regional Operations Center. The message shall follow the format of FAA Form 8020-9, parts 1 and 2, as appropriate. Also transmit using this format when:

(a) An AT facility receives initial notification more than 24 hours after the aircraft accident.

(b) There is an aerial application (agricultural) or industrial accident.

(2) Address the message to:

(a) NTSB, Washington, D.C.

(b) Washington Operations Center, FAA, Washington, D.C.

(c) FAA regional office with jurisdiction over the area in which the accident occurred. If the aircraft was under the control of an FAA facility in another region, both regions shall be addressed.

(d) Aeromedical Research Division, AAM-600, Mike Monroney Aeronautical Center.

(e) Aviation Data Systems Branch, AFS-620, Mike Monroney Aeronautical Center.

(f) U.S. Air Force Rescue Coordination Center, Langley Air Force Base, Virginia.

(g) El Paso, Texas, Intelligence Center (EPIC).

(h) The appropriate civil aeronautical authority for accidents involving aircraft of Canadian or Mexican registry in accordance with ICAO Annex 13.

(3) Notify the FSDO and the NTSB field office with jurisdiction over the area in which the accident occurred by telephone, facsimile, or in accordance with a regional agreement. A copy of FAA Form 8020-9 shall also be forwarded to the FSDO.

(4) When the facility originating the message is at the same location as one or more of the above offices, immediate delivery of a copy of FAA Form 8020-9 shall be made in accordance with local agreements.

(5) The facility originating the message, if not the facility responsible for preparing the accident file as determined by paragraph 67, shall forward a copy of FAA Form 8020-9 to the responsible facility. If the responsible facility cannot be determined, the regional AT division shall make the determination, notify the responsible facility, and furnish essential information.

(6) When a facility transmits the information from FAA Form 8020-9 for the originating facility, the originating facility shall be provided a copy of the transmittal. When a facility is the transmitting facility only, it is not required to retain the transmittal beyond the requirement for NADIN messages in the latest edition of FAA Order 1350.15, Records Organization, Transfer, and Destruction Standards.

(7) When transmitting information from FAA Form 8020-9 via NADIN, the manager's name and title of the AT facility responsible for compiling the required information (as determined by paragraph 67) shall be included in the format.

(8) When no AT formal or informal file is required, the originating facility is not required to retain FAA Form 8020-9 and/or FAA Form 8020-3 beyond the requirement for NADIN messages as described in the latest edition of FAA Order 1350.15.

c. Transmitting a Second Message.

(1) Send a second message upon locating aircraft wreckage, to revise the original message, or to downgrade the accident to an incident.

(2) Distribute the message to the same addresses as the original message and include a reference to the accident date and aircraft identification number in the original message.

(3) Include the letters "FAA" in FAA Form 8020-9, part B, if the aircraft involved is owned or operated by the FAA, flown by FAA personnel on official duty, or utilized by FAA inspectors performing flight tests.

(4) Enter "unknown" for any item unavailable when the message is prepared; e.g., "C unknown."

(5) Complete FAA Form 8020-9, item F, in all cases. If the name of the FS IIC for the accident is unknown, the office(s) notified should be indicated; e.g., NTSB FTW, SW-FSDO-65.

66. MILITARY NOTIFICATION OF FAA WHEN FAA IS INVOLVED IN A MILITARY AIRCRAFT ACCIDENT. When a military accident occurs and military authorities determine that a function of the FAA Administrator is or may be involved, the commander or the designated representative at the installation involved will transmit by telephone, via the nearest or most convenient FAA facility, all unclassified information. The military will also deliver a complete and final message to the AT facility as soon as possible, normally within 24 hours of the accident. If FAA Form 8020-9 has already been distributed, the FAA facility shall send a second message in accordance with paragraph 65c that would include the new information supplied by the military. The information required from the military is:

- a. Date and time of accident, both stated in coordinated universal time (UTC).
- b. Location of accident scene based on direction and distance from the military base or prominent geographical location, if known; otherwise, latitude and longitude coordinates.
- c. Aircraft type, model, and serial number.
- d. Unit to which the aircraft was assigned.
- e. Point of departure.
- f. Type of AT clearance.
- g. Destination.
- h. Last known position in flight and/or radio contact with pilot.
- i. Security classification of accident, if applicable.
- j. Presence of radioactive or hazardous materials, if applicable.
- k. Description of accident.
- l. Identity of FAA functions involved.
- m. If FAA participation is requested by the military.
- n. If other investigations will be conducted.
- o. Name, telephone number, and address of the military contact.

67. DETERMINATION OF AIR TRAFFIC FACILITY RESPONSIBLE FOR FINAL DATA COLLECTION.

a. The final collection of all accident information will be accomplished by the field facility that meets the following criteria related to the aircraft involved:

(1) Aircraft on instrument flight rules (IFR) flight plans under the control of an FAA-staffed facility: the AT facility with jurisdiction over the flight when the accident occurred.

(2) Aircraft on IFR flight plans under the control of a military-staffed facility: the ARTCC in whose area the accident occurred. The ARTCC will cooperate with the military by furnishing the required information to the assigned investigator through the AT representative (ATREP). The ARTCC shall obtain permission to release documents from the Evaluations and Investigations Staff, AAT-20, through the appropriate regional AT division.

(3) Aircraft not on an IFR flight plan but in communication with an FAA facility: the FAA facility having communication with the aircraft.

(4) Aircraft not in communication with an FAA facility: the last FAA facility having communication with the aircraft.

(5) Other Aircraft: the AFSS with flight planning responsibilities for the area in which the accident occurred.

NOTE: Communication may include two-way radio or telephonic communication with the pilot or inter/intra-facility coordination regarding the flight.

(6) Aircraft that have not communicated with an FAA facility, but have communicated exclusively with an FCT: the last FCT facility having communication with the aircraft.

(7) Aircraft that have communicated with both an FAA facility and an FCT facility:

(a) The last FAA facility having communication with the aircraft will conduct the final collection of all accident information involving FAA facilities. Except as noted in paragraph 70c, no information from an FCT facility will be included in the package.

(b) The last FCT facility having communication with the aircraft will conduct the final collection of all accident information involving FCT facilities. No information from an FAA facility will be included.

b. AT does not need to establish a file for agricultural, ultralight, balloon, and/or industrial accidents unless requested by the regional AT division, AAT-20, or the FAA IIC.

68. NUMBERING OF AIR TRAFFIC FORMAL ACCIDENT FILE/PACKAGE AND INFORMAL ACCIDENT FILE.

a. AT formal accident files and packages, and informal accident files shall be numbered with the facility accident number beginning with the (3-digit) number 001 and continuing in numerical sequence without regard to year. The number shall be preceded by the 3-character facility identifier and the facility type identifier (e.g., ARTCC, TRACON, ATCT, AFSS, FCT). Examples: "ZTL-ARTCC-095," "D10-TRACON-004," "HNL-ATCT-013," "SAT-AFSS-044," and "OLM-FCT-001." Do not use a separate numbering system for formal accident files/packages and informal accident files.

b. FAA facilities retaining information in an AT informal or formal accident file shall use the same accident number being used by the facility preparing the informal or formal accident file (as determined in paragraph 67).

c. FCT facilities retaining information in an Air Traffic informal or formal accident file shall use the same accident number being used by the FCT facility preparing the informal or formal accident file (as determined in paragraph 67).

d. When both FAA and FCT facilities have created an Air Traffic informal or formal accident file, two separate accident file numbers shall be used, an FAA facility number and an FCT facility number.

69. FACILITIES PROVIDING NORMAL OR ROUTINE SERVICES.

a. Facilities that provided normal services to the subject aircraft and did not either have control over the aircraft just prior to or at the time of the accident and/or have pertinent transmissions may, after coordination with the facility responsible for preparing the AT accident file (see paragraph 67), submit a normal service statement.

b. Those facilities providing normal services must provide a statement certified by the facility manager (or manager's designee) that:

"All services provided by (name of facility) were normal and there were no pertinent transmissions."

c. A certified index listing each document being held by the facility to support a normal service statement shall also be included on a separate sheet (see Appendix 2). The certified index shall list every document in the accident file (or package) unless the document is individually certified. The certified index shall be signed by the facility manager using the following format:

"I hereby certify that the following originals are on file in this office."

d. Those facilities providing normal services shall provide FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet), as described in paragraph 74b(11).

70. FORMAL ACCIDENT FILE/PACKAGE DATA COLLECTION. A formal accident file/package is required for all investigations, including military investigations, when AT facilities may be or are involved in the accident.

a. Prepare formal accident files/packages for the following (all of which include military aircraft):

- (1) Air carrier, air taxi, and commuter accidents.
- (2) Accidents involving aircraft operating under IFR, or special visual flight rules (VFR) which resulted in fatalities or serious injuries.
- (3) For all other accidents, the determination of whether a formal accident file/package is necessary or required shall be based on the "level of AT service" (if any) which was being provided to the aircraft, including weather-related accidents when a weather briefing was provided within 24 hours of the accident. Weather briefings include FAA-contracted Direct User Access Terminal Systems (DUATS). The "level of AT service" is used to denote the amount and complexity of service being provided. The determination of the "amount of complexity" of AT service shall be based on the best assessment of the regional AT division in consultation with the facility. Although not all inclusive, an example of minimum service may be a VFR arrival or departure to or from an airport in class D airspace. A higher level of service may be a separation, sequencing, and/or vectoring to a VFR aircraft within class B airspace.
 - (a) If it is determined not to prepare a formal accident file/package, the regional AT division may request the facility(ies) to prepare an informal accident file in accordance with paragraph 73.
 - (b) In the case where no AT service was being provided to the aircraft but AT subsequently became aware of the accident (via notification by police or similar organizations), no formal or informal file/package is required, and all forms and documentation associated with the notification process shall be retained as specified in the latest edition of FAA Order 1350.15.
- (4) For any suspected aircraft accidents when wreckage and/or other debris is not immediately located but when there is reason to believe that an accident may have occurred and the accident meets any of the requirements of paragraph 70a.

(5) When requested by AAT-20, the regional AT division, or the FAA IIC.

b. Obtain documentation as follows:

- (1) After the preliminary notification (see the latest edition of Order 7210.3), appropriate facilities along the flight route shall be requested to provide pertinent documentation (see paragraph 70b(6)).

NOTE: AFSS's are responsible for the immediate delivery of such a request by telephone or by hand to addresses in the AFSS's flight planning area. The AFSS in whose flight plan area the accident occurs shall deliver the request to each DUATS vendor.

(2) Upon receipt of such a request, AT facilities shall promptly advise the requesting facility if pertinent documentation is available and the date it will be forwarded. Negative replies shall be forwarded within 4 hours. Normal service statements shall be forwarded within 4 administrative days.

(3) Responding facilities shall impound all pertinent original documents and voice recordings, including both interphone and radio communications, and all available computer data. Unless otherwise advised by the AT accident representative, retention shall be in accordance with paragraphs 71, 76, 78, and 79. Facilities shall compare the accuracy of the automated radar terminal system (ARTS) clock with its time source and also compare the voice recorder equipment clock with the ARTS clock. The results of these findings shall be noted on FAA Form 7230-4, Daily Record of Facility Operation.

(4) Particular attention shall be given to the handling of voice recordings to avoid undue wear or damage and to avoid tampering charges. Generally, the playback of such recordings should be limited to the minimum number of times necessary to make recorded copies and to meet the needs of the accident investigators.

(5) Responding facilities shall furnish the requesting facility with five copies of pertinent records, certified indexes, and/or normal service statements.

(6) Examples of pertinent documentation include but are not limited to FAA Form 8020-9; FAA Form 7230-4, Daily Record of Facility Operation; Personnel Logs; FAA Form 7230-10, Position Log (or automated equivalent); facility layout chart; Flight Progress Strips; Pilot Report (PIREP) and weather data; Significant Meteorological Information (SIGMET); Airmen's Meteorological Information (AIRMET); Notice to Airmen (NOTAM); FAA Form 7233-1, Flight Plan; and copies of operations letters, letters of agreement, and facility memoranda. The determination of which information is pertinent will be made by the requesting facility manager.

c. The formal accident file shall contain the formal accident package, original voice recording (see paragraph 78b), at least one certified voice re-recording, FAA Form 8020-9, FAA Forms 8020-24 and 8020-25 (if applicable), and all other pertinent documents and material gathered or created as part of, or subsequent to, the initial investigation unless specifically excluded by Order 8020.11 or in writing by AAT-20. Also, include a copy of transcripts (full or partial, as appropriate) and certified voice re-recordings prepared by all involved FCT's in the FAA Air Traffic formal accident file, not package. No other FCT documents shall be retained in the FAA Air Traffic formal accident file without the permission of AAI-100 and/or AAT-20.

d. The formal accident file shall be labeled as described in paragraph 79a.

e. When notified by Flight Standards that an aircraft accident has been:

(1) Downgraded to an aircraft incident, the responsible AT facility (see paragraph 67) shall assemble an informal accident file instead of a formal accident file.

(2) Determined to be a nonoccurrence, the responsible AT facility (see paragraph 67) shall coordinate with the regional AT division and retain all documentation as described in the latest edition of Order 1350.15.

71. DATA COLLECTION AND CERTIFICATION BY SELECTED FACILITIES.

a. Automated Flight Service Stations, Flight Service Data Processing System (FSDPS) Facilities, and Aviation Weather Processor (AWP) Facilities.

(1) When data are required by an AFSS for inclusion in a formal accident package or file or for use in an accident investigation, the AFSS must request an event reconstruction (EVR) printout from the associated FSDPS or Operational and Supportability Implementation System (OASIS) facility. After initial review by the AFSS, any additional pertinent information must be requested from the FSDPS or OASIS within the 15-calendar-day computer data retention period. When additional pertinent information is needed from the AWP facility to support the accident package or file, the FSDPS facility shall request an EVR from the AWP facility. This request must also be made within the 15-calendar-day computer data retention period.

(2) On receiving an EVR request, the OASIS AFSS, or FSDPS and/or AWP facilities shall:

(a) Conduct an EVR after searching for all contacts with the specific aircraft.

(b) Reduce the computer data to printed form producing two printouts.

(c) Certify one printout as the original and one printout as the copy. The FSDPS and/or AWP facility shall forward them to the requesting AFSS or FSDPS facility. After coordination between the requesting facility and the preparing facility, the FSDPS and/or ASP facility, as an alternative, make the certified copy from the certified original and reduce to 8 ½" x 11" when being copied (OASIS EVR's are printed originally on 8 ½" x 11" paper).

(d) Return the computer recording medium to service 15 calendar days from the date of data extraction unless specific retention instructions are received.

(3) The AFSS shall include the certified copy in the accident file. The certified original copy may be kept in a separate secured area. Because the computer recording medium will be returned to service, the certified original copy is the only remaining official data in the possession of the FAA. The certified original copy shall be retained for the same period as the accident package.

(4) Information that may have been pertinent to the flight, but not actually provided to the flightcrew or operator, shall be obtained and retained separately in the accident file but not as part of the actual accident package. Requests for message text from AWP facilities may be necessary to determine its relevance to the flight.

b. When requested by the FAA IIC, AAI-100, AAT-20, the Air Traffic Division, or the Air Traffic facility responsible for final data collection (see paragraph 67), any Air Traffic facility having any pertinent documentation (i.e., radar data, etc.) in support of an aircraft accident or incident investigation will retain this documentation in accordance with paragraphs 68 and 79a or 79c. This only applies to Air Traffic facilities, which provided no direct or indirect Air Traffic services to the aircraft in question. Although the Air Traffic facility will maintain an Air Traffic formal or informal file, other documentation as outlined in paragraphs 72 and 73 will not be required.

c. Computer Data Certification.

(1) A certification statement is signed by the manager of the AT or AWP facility or the manager's designee:

"I hereby certify this document is derived from computer recordings from (UTC date and UTC time) to (UTC date and UTC time)."

This certified data becomes the official printed historical document after the recording medium has been returned to service.

(2) A certification statement is signed by the person at the digital aviation weather network (DAWN) or aeronautical information system (AIS) host facility who fulfills the data request:

"I hereby certify this data is derived from the (DAWN/AIS) data received by this facility for the period from (UTC date and UTC time) to (UTC date and UTC time)."

(3) Facilities equipped with the digital voice recorder systems (DVRS) wherein a request is made for a voice re-recording to be provided on a digital audio tape. The certification statement is signed by the person at the facility who fulfills the data request:

"I hereby certify this data is derived from the DVRS data received by this facility for the period from (UTC date and UTC time) to (UTC date and UTC time)."

(4) All requests to the AOS facility automation manager for data will be through the Air Traffic facility manager or designee.

(5) The following statement is signed by the manager of the en route facility when recorded en route host computer data is transferred to a diskette or compact disk read only memory (CD- ROM):

“Please note that the program we used to transfer this data in the host computer utilizes several control character codes which are not represented by printable characters and may or may not have ASCII equivalents. Therefore, we make no representations regarding the completeness of the data or the exactness of its conformity to previous or future downloads, either paper or electronic, or to the data on the mainframe itself. Please check data closely before using it to make sure that it is suitable to your needs.”

d. David J. Hurley Air Traffic Control System Command Center (ATCSCC).

(1) When it has been determined by AAT-20, by a regional AT division, or by the FAA IIC that the ATCSCC may have information pertinent to an accident or incident, the ATCSCC will be requested to retain data, documentation, and/or voice re-recordings in accordance with this order and local directives.

(2) The ATCSCC shall provide data, documentation, and/or voice re-recordings as outlined in paragraphs 69 and 70, or other paragraphs as appropriate.

72. CONTENT, ASSEMBLY, AND DISTRIBUTION OF FORMAL ACCIDENT PACKAGE.

a. Content. The formal accident package shall contain the accident report forms, all pertinent records, personnel statements, transcriptions of voice recordings, charts, operation letters, letters of agreement, and facility memoranda (see Appendix 2). Include items as accident documentation requires. Copies of records from facilities other than the one originally reporting the accident or responsible for the preparation of the package shall be obtained and included in the package, if pertinent.

b. Copies.

(1) FAA facilities providing hard copy documents to the preparing facility shall submit five copies and retain the original. The copies shall be forwarded to the facility preparing the formal accident file/package within 10 calendar days. Copies shall not have original signatures. The facility preparing the accident package shall assemble five packages; i.e., the original and four copies.

(2) FCT facilities shall prepare one copy and retain the original. The copy shall be forwarded as described in paragraph 72e within 10 calendar days. The copy shall not have an original signature.

c. Assembly. Assemble package in a top-fastening hard cover binder with a cover label, dividers, and sections. Affix a gummed label (maximum size 3" x 5") to the front cover. The label shall be clearly marked "AIRCRAFT ACCIDENT PACKAGE" with the facility accident number, aircraft registration or flight number, aircraft type, accident UTC date and UTC time, and the UTC date the package is to be destroyed (the original accident package -- 5 years; copies of the original package -- 2½ years). Include a table of contents page that lists each section number and content. Insert a sheet of plain bond paper between each section with the section number and title of the section centered on the page. If the information called for by a specific section is unavailable or not pertinent, use that section number for the next required item so that the numbers remain in sequence. All information in each section shall be in the chronological order of flight. Every page shall reference the accident number and aircraft registration or flight number. Assemble the package in the following order:

(1) Section 1. Table of Contents (list each section number and content).

(2) Section 2. FAA Form 8020-6, Report of Aircraft Accident, and FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet) (see paragraph 74). Each facility having provided AT services or having communication with the subject aircraft shall submit FAA Form 8020-6-1. These forms shall be placed in Section 2 and in the chronological order of flight. Facilities preparing an accident package as a result of paragraph 67a(5) will also prepare FAA Form 8020-6-1 in accordance with paragraph 74b(11). However, the facility will insert the following statement into the chronological summary of flight: "The (3-character facility identifier and the facility type identifier) did not have communications or other contact with the aircraft and is preparing this document in accordance with Order 8020.11, paragraph 67(a)(5)."

(3) Section 3. Certified Indexes and Normal Service Statement(s) (see paragraph 69b). The certified index shall list each item that is retained in its original form in the facility files or package. This shall also include computer data and voice recordings and/or re-recordings being retained as a result of the accident. The certification signature must be the same as the typed name. Do not use "for" to sign as the certifier.

(4) Section 4. FAA Form 7230-4, Daily Record of Facility Operation.

(5) Section 5. Personnel Logs.

(6) Section 6. FAA Form 7230-10, Position Log, or automated equivalent. At a minimum, include those forms that have individuals listed in paragraph 74b(9).

(7) Section 7. Facility Layout Chart (mandatory for ATCT's, TRACON's, ARTCC's, and FCT's only).

(8) Section 8. Airport Diagram. For all airport surface accidents, provide an airport diagram. The airport diagram shall include the name of the airport and, if the diagram is not to scale, include the statement "this diagram not to scale" on the diagram.

(9) Section 9. Flight Progress Strips: FAA Forms 7230-7.1, Terminal-Continuous With Center Perforation; 7230-7.2, Terminal-Continuous Without Center Perforation; 7230-8, Terminal-Cut; 7230-19, ARTCC (Marginally Punched Continuous Strip); 7530-01, Tablatures Machine Continuous Paper; 7230-21, FSS; 7233-5, In-Flight Contact Record, or M1FC In-Flight Contact Record or other automated equivalent.

(10) Section 10. Transcriptions of Voice Recordings (see paragraph 77).

(11) Section 11. FAA Form 8020-3, Facility Accident/Incident Notification Record, (see paragraph 64).

NOTE: Unless requested by AAT-20, the regional AT divisions, or the FAA IIC, all home, cellular, and pager telephone numbers of FAA, airport, military, and emergency personnel/offices shall be obliterated or sanitized from all copies of FAA Form 8020-3. Only the original AT accident file and package and originating AT facility (see paragraph 64), if different from the facility assembling the file and package, will retain these numbers on the original document.

(12) Section 12. Personnel Statements (see paragraph 75).

(13) Section 13. Weather Products: Weather that was pertinent and available to the controller (regardless if issued to the flightcrew) and the source of the weather. This includes but is not limited to PIREP's, SIGMET's, AIRMET's, and weather-related NOTAM's.

NOTE: DAWN, AIS, Model 1 AWP, or OASIS EVR, or copies of weather observation forms must be individually certified by the AT facility responsible for initiating the record. The AT certification shall read: "I certify that this is a true copy of the original which was available to the controller." The certification for AT facilities taking weather observations shall read: "I certify that this is a true copy of the original which has been forwarded to the National Weather Service Records Center."

En route facilities shall obtain pertinent weather information from the center weather service unit which must be certified by AT. AT facilities that take weather observations shall certify the observation form for inclusion in the AT accident package. AT facilities that do not take weather observations shall contact the associated AFSS and request weather information needed. The AFSS will coordinate with the FSDPS or use OASIS to obtain the weather information. The AFSS will provide a certified copy of the weather to the requesting facility.

(14) Section 14. Nonpublished applicable NOTAM's.

(15) Section 15. FAA Form 7233-2, Preflight Briefing Log, or automated equivalent.

(16) Section 16. FAA Form 7233-1, Flight Plan, or automated equivalent.

(17) Section 17. Other. Include any other materials deemed pertinent.

d. Certification of Copies of Original Records (Excluding Tapes). The facility manager or the manager's designee shall certify all copies of original records. The certification may be accomplished by preparing a certified index listing each document or by certifying each document. In both cases, use the following format:

"I hereby certify that the following copies of records are true copies of originals which are on file in this office."

Signature
Name
Title
Name of Facility

e. Distribution.

(1) The FAA facility preparing the accident package shall retain the package with original documentation in the facility files. Original documents (recorded or written) shall not be released from the AT facility's custody without the permission of the AAT-20 manager or the manager's designee. When such permission is received, a memorandum documenting the change of custody shall be placed in the facility file. This memorandum shall state the name, office, approving official, and date the records were forwarded. FAA facilities shall distribute the four complete copies of the package as follows:

(a) Two complete packages to the regional AT division. After review, the regional AT division will forward one copy of the package to AAT-20 within 45 calendar days of the accident.

(b) Two complete packages to the FAA IIC (FSDO or AAI-100, as appropriate) after regional AT division and AAT-20 review. The FAA IIC shall forward one copy to NTSB within 60 calendar days of the accident.

(c) Facilities that prepare a formal accident package as a result of an accident involving military aircraft shall distribute the package in accordance with paragraphs 72e(1) and (2).

(d) Should corrections to the accident package become necessary, all changes shall be distributed in the same manner as outlined in paragraphs 72e(1)(a) and 72e(1)(b). A memorandum from the facility manager shall accompany any change(s) with a complete explanation of the change.

(2) The FCT facility preparing the accident package shall retain the package with original documentation in the facility files. Distribute the copy of the package as follows:

(a) To the regional AT division. After review for compliance with applicable FAA orders and directives, the regional AT division shall forward the one and only copy of the package to AAT-20 within 45 calendar days of the accident. After review for compliance with applicable FAA orders and directives, AAT-20 shall return the one and only copy to the originating FCT facility.

(b) After regional AT division and AAT-20 review, the FCT facility shall forward one copy to NTSB within 60 calendar days of the accident.

(c) Should corrections to the accident package become necessary after the FCT forwards the copy of the accident package to the NTSB, all changes shall be distributed in the same manner as outlined in paragraphs 72e(2)(a) and 72e(2)(b). A memorandum from the FCT facility manager shall accompany any change(s) with a complete explanation of the change.

f. Air Traffic Aircraft Accident Package Certification.

(1) An Information Memorandum addressed to the Air Traffic Regional Division Manager from the Air Traffic Manager, or Acting Air Traffic Manager, of the data collection facility shall be prepared. The certification signature must be the same as the typed name. Do not use "for" to sign as the certifier. This memorandum will certify that the Air Traffic Manager or Acting Air Traffic Manager is attesting to the completeness and accuracy of the entire Air Traffic Aircraft Accident Package. The memorandum will provide the following certification:

"I hereby certify that the attached Air Traffic Aircraft Accident Package has been reviewed, and it is complete and accurate."

(2) An Information Memorandum addressed to the Manager, Air Traffic Investigations Division, AAT-200, from the Air Traffic Regional Division Manager, or the Air Traffic Regional Division Manager's designee, shall be prepared. This memorandum will certify that the Air Traffic Regional Division Manager, or the Air Traffic Regional Division Manager's designee, is attesting to the completeness and accuracy of the entire Air Traffic Aircraft Accident Package. The memorandum will provide the following certification:

"I hereby certify that the attached Air Traffic Aircraft Accident Package has been reviewed, and it is complete and accurate."

(3) Both of the original certification memoranda must be attached to the inside cover of the accident package submitted to AAT-200 for review. All copies of the memorandums shall be removed and destroyed 30 days after AAT-200 has completed the review of the Air Traffic Aircraft Accident Package.

73. CONTENT OF INFORMAL ACCIDENT FILE.

a. An informal accident file shall be retained in the facility files. The file shall include the original of:

- (1) FAA Form 8020-3 (see paragraph 64).
 - (2) FAA Form 8020-9 (see paragraph 65).
 - (3) FAA Forms 8020-6 and 8020-6-1 (see paragraph 74).
 - (4) FAA Form 8020-11 (as appropriate) (see paragraph 85).
 - (5) FAA Forms 8020-24 (see paragraph 86) and 8020-25 (see Appendix 1).
 - (6) Each personnel statement (see paragraph 75).
 - (7) A certified cassette re-recording and a certified re-recording (marked "Original" to replace the original) (see paragraph 78b).
 - (8) Include a copy of all transcripts and certified voice re-recordings prepared by all involved FCT's in the FAA Air Traffic informal accident file. No other FCT documents shall be retained in the FAA Air Traffic informal accident file without the permission of AAI-100 and/or AAT-20.
 - (9) Other pertinent items.
- b. Affix a gummed label (maximum size 3" x 5") to the file. The label shall be clearly marked "INFORMAL ACCIDENT FILE" with the facility accident number, aircraft registration or flight number, aircraft type, accident UTC date and UTC time, and the UTC date the file is to be destroyed.
 - c. Every page shall reference the accident number and aircraft registration or flight number.

74. FAA FORM 8020-6, REPORT OF AIRCRAFT ACCIDENT.

a. General.

- (1) FAA Form 8020-6 is used to record and report information about aircraft accidents (see Appendix 2). This information will be used by FAA and other Government investigating bodies.
- (2) The form consists of six copies and a cover sheet. The cover sheet should be used for the preparation of a draft report by the specialist or supervisor on duty at the time of the accident. The report shall be typewritten in clear language. Do not use symbols and/or abbreviations. The draft shall be destroyed at the time the typewritten FAA Form 8020-6 is signed. Since the carbon copies are often difficult to read, the facility may elect to photocopy the original typewritten page.

b. Form Instructions.

- (1) Report Number. Reports shall be numbered as described in paragraph 68.
- (2) Item 1. Aircraft Type and Identification; Item 2. Date/Time of Accident (Greenwich Mean Time; i.e., coordinated universal time or UTC); and Item 3. Location of Accident (i.e., distance to nearest town or airport, distance from runway, location on airport, etc., include state; do not use latitude/longitude). Self-explanatory.
- (3) Item 4. Nature of Accident. A brief statement of the nature of the accident shall be included if known. Examples: midair or taxiing collisions, landed with gear up, crashed on final approach. When the information is not known or can only be surmised, enter "unknown."
- (4) Item 5. Type of Flight. State briefly the nature of flight and type of flight plan on which the aircraft was operating. Examples: local VFR, cross-country, no flight plan, and IFR flight plan.
- (5) Item 6. Flightcrew. Enter the name of each flight crewmember, his or her position (examples: pilot, flight engineer, flight attendant), address (city and State only), and extent of injury. Give extent of injuries as known at time of report preparation. Do not delay report for later information.
- (6) Item 7. Passenger Data. Include, if available, names, addresses (city and State only), extent of injuries. Do not include flightcrew information (see Item 6). Do not delay report for later information.
- (7) Item 8. Aircraft Damage; Item 9. Property Damage; Item 10. Operational Status of Navigational Aids/Lights/Communication. Self-explanatory.
- (8) Item 11. Weather Data. Weather data must be written out in plain language. Numbers shall be spelled out. The first section shall identify what the actual conditions were at the scene of the accident. If conditions/reports are not available at the scene, identify and use the nearest reporting station. If available, use pilot reports. Section 2 shall state the last reported weather prior to the accident. Section 3 shall state the first report subsequent to the accident. Some type of weather report must be included in each section. The time in the larger boxes ("Conditions in Accident Area at Time of Accident," "Report Just Prior to Accident," and "First Report subsequent to Accident") shall be reported in local time. The date and time in the smaller boxes ("Date and Time") shall be UTC date and UTC time. The statement "weather not available" or "not applicable" shall not be used if the date, time, or location of the accident are known.
- (9) Item 12. AT Personnel Involved.

(a) List the names of personnel involved (described in paragraph 75a) in chronological order beginning with the first facility having contact with the aircraft and then in order of involvement. Personnel at facilities providing normal service statements are not listed in this section.

(b) All personnel listed in this section shall also have a personnel statement in the accident package. Indicate the position of operation occupied by each person listed. List the facilities involved and if any of the persons listed were accident witnesses. If additional space is needed to list personnel, enter them in item 14, FAA Form 8020-6-1 (see Appendix 2).

(c) The operating initials for each controller shall be typed to the right of their name and enclosed in parenthesis. Type an asterisk to the left of the first set of operating initials and type a notation at the bottom of the name block (see Appendix 2).

(10) Item 13. Signature of AT Manager. The AT manager or the acting AT manager shall sign this block.

(11) Item 14. Chronological Summary of Flight (see FAA Form 8020-6-1). A complete chronological summary of the flight that describes all pertinent communications, emergency assistance, and other AT services provided to the aircraft shall be reported. This information must be correct and supported by the other AT facilities (if appropriate) involved through documentation which may include normal service statements. Use the continuation sheets to list any information for which insufficient space is provided on the first page of the form. Type the accident date accompanied by "ALL TIMES BELOW ARE COORDINATED UNIVERSAL TIME UNLESS OTHERWISE SPECIFIED." At the end of the written report, type an underscore line completely across the page and under this type "No More Follows" (see Appendix 2).

75. PERSONNEL STATEMENTS.

a. Facilities preparing personnel statements shall:

(1) Obtain statements as soon as possible directly from any person who:

(a) Had any direct responsibility for controlling or communicating with the flight or preparing or handling data related to the flight.

(b) Witnessed any portion of the flight operation.

(c) Was involved in emergency action as a result of the accident.

(d) Provided a weather briefing to the flightcrew within 24 hours of the accident. This statement shall identify the weather and/or other information used in the briefing, the origin of the data, and the effective time.

(2) Ensure that statements include:

(a) The date that the original statement was actually signed.

(b) The person's name, occupation, location of employment, and his or her operating initials used on personnel logs and/or position logs.

(c) Operational equipment configuration; i.e., radar channel, moving target indicator, circular polarization, video map, offset or indicator, runway or approach lights, etc., (collect for aircraft accidents only). If a facility has a diagram of the radar display, setting of radar channel, etc., this diagram may be attached to the personnel statement in lieu of a handprinted description. If a diagram is provided, add the word "Attachment" shall be placed two lines beneath the signature of the person preparing the statement. Statements that do not contain equipment criteria shall have a single sentence stating such. This will allow for the reader to understand that the omission was not an oversight.

NOTE: The reader of the Personnel Statement should be able to determine why the equipment configuration has not been included with the Personnel Statement. Sentences such as "Equipment configuration is not included" do nothing to assist the reader.

(3) Forward five copies of the statement to the facility preparing the accident package. If the facility preparing the statement is also the facility preparing the package, then prepare four copies.

NOTE: It is permissible and encouraged for the Air Traffic facility to review the examples of the personnel statements in Appendix 2 and prepare, in advance, the "typed" portions of the personnel statement. These templates or pretyped personnel statements may be provided to the person preparing the statement to complete as described throughout paragraph 75. However, do not include pre-typed sentences that prompt the individual to mark or otherwise indicate that the individual does not remember what the various settings of the operational equipment were at the time of the accident or incident on the template or pre-typed form.

b. Prior to statement preparation, personnel shall:

(1) Have the opportunity to review voice recordings and other pertinent information.

(2) Be briefed that the statement shall include only:

(a) Statements in the first person; e.g., "I am," "I saw," "I did."

(b) Factual information regarding the aircraft accident or incident. Opinions, conclusions, or other extraneous data shall not be included.

c. Personnel at facilities forwarding normal service statements do not need to provide personnel statements to the requesting facility. However, the facility providing the normal service statement shall retain all personnel statements in an accident file along with all the other supporting documentation.

d. Personnel statements may be a combination of a template and handwritten information. Facilities may prepare a local form (see example in Appendix 2) on which common information is provided, with sufficient space for specific data to be inserted. These data are to be handprinted neatly, in ink, and signed by the person preparing the statement. The signature of the originator certifies the accuracy of the statement. The personnel statement will neither be edited nor typed and, once signed, will constitute the original statement.

e. While preparing the personnel statement, if it becomes necessary to make a correction (due to a misspelled word or other editorial change), the person preparing the statement shall place a single line through the error and initial (actual initials, not operating initials), and date the change to the text. Editorial changes made after the personnel statement has been signed shall be treated as described above. However, any substantial changes or changes that may alter the meaning and/or context shall be treated as an amended personnel statement and attached to the original document. Amended statements are prepared as described throughout this paragraph and shall be clearly marked "Amended Personnel Statement."

76. RE-RECORDING OF VOICE RECORDINGS. Unless otherwise noted, all references to voice recorders (in this paragraph and/or other appropriate paragraphs) shall refer to both analog voice recorders (i.e., reel to reel) and DVRS.

a. To protect original voice recordings from wear and possible damage, arrangements shall be made to re-record all pertinent recordings as soon as possible after an accident. This re-recording shall include all communications pertinent to the accident and the time track, when available, from a period of 5 minutes before the initial contact to 5 minutes after the last contact. Facilities equipped with the DVRS shall archive the call file immediately preceding and immediately after the 5-minute before and after requirement.

NOTE: The term "contact" is not necessarily defined as two-way, completed communication and/or coordination with or about the subject aircraft. Re-recording shall include all communication and/or coordination pertaining to the subject aircraft even if a completed (acknowledged) transmission is not accomplished. This definition may be extended to include transmissions and/or coordination involving search and rescue efforts and "attention all aircraft" broadcasts (i.e., weather advisories, etc.). Due to the infinite number of possibilities involved, facilities shall coordinate questionable exceptions with their respective region. An example of a "contact" that would be included in the re-recording (either 5 minutes before or 5 minutes after) would be attempts by the air traffic control specialist (ATCS) to contact the subject aircraft. If the ATCS keeps calling the call sign of the aircraft, the 5 minutes (either before or after) referred to begins either at the first or last attempt.

b. Use a direct electronic connection between the playback and re-recording equipment to make this re-recording. Do not use the speaker-to-microphone method except at locations where tape units may not have been adapted for electronic takeoff of sound.

(1) Re-recordings shall be made using stereo equipment and digital time if available. Record time on the right track and data on the left track. When stereo capability does not exist, voice time may be recorded simultaneously with other pertinent data on monaural tape. Adjust the volume of the voice time so that pertinent voice transmissions are not blocked out.

(2) Only two certified re-recordings of the original recording should be made. Any additional re-recordings should be made from a certified copy of the original. A memorandum shall accompany any additional re-recordings and at a minimum state the date this re-recording was made and identify for whom it was made. The memorandum shall be prepared in accordance with paragraphs 77d(1)(a) through 77d(1)(d) and refer to "Recordings" instead of "Transcripts." A copy of this memorandum shall be placed in the accident file.

(3) When voice recordings for time periods in excess of that described in paragraph 76a are released via a Freedom of Information Act (FOIA) request, the facility shall also retain a copy and document to whom it was released and by what authority.

c. A voice announcement preceding a re-recording of an original recording shall be made using the following format as necessary to certify the re-recording:

"This re-recording is being prepared by (facility). The subject concerns (type of incident) involving (aircraft identification(s)) on (date, UTC) at approximately (time, UTC). The agencies/facilities involved in this (type of incident) are (agency/facilities name; do not use abbreviations). Positions of operation are recorded in the following sequence: local control, ground control, etc.)."

"I hereby certify that the following is a true re-recording of the original recorded transmissions pertaining to the (type of incident). My name is (name). I am employed as (title) at (facility)."

d. The re-recording of each position of operation will be preceded by a statement identifying the position and the UTC start and stop times of the re-recording as follows:

"This portion of the re-recording concerns communications at the (position) during the period (UTC) to (UTC) on (UTC date)."

e. Conclude the re-recording with:

"This is the end of the re-recording concerning the (type of incident) involving (aircraft identification(s))."

f. All the cassettes on which the re-recordings are made shall be marked clearly with the aircraft accident number, aircraft identification, the UTC date of the occurrence, facility name, and position(s) with the UTC times encompassing each re-recording. All cassettes shall be checked to ensure adequate quality of the voice and time channel recordings.

g. Remove the plastic tabs at the top of the cassette to preclude any further recording on the cassette.

77. TRANSCRIPTION OF VOICE RECORDINGS.

a. Typewritten transcriptions shall be prepared for all formal accident packages or when requested by the FSDO, the AT division, or AAT-20 and shall contain all recorded communications concerning the subject aircraft for a period of 5 minutes before initial contact until 5 minutes after the last contact (i.e., partial transcripts) (see paragraph 76a NOTE). When specifically requested by AAI-100, the AT division, or AAT-20, complete typewritten transcription (i.e., all communications recorded at the specific position regardless of source) shall be prepared for the above time period. The transcription shall consist of all voice and/or interphone transmissions during the defined time period (i.e., full transcripts). Each operational position (i.e., ground control, local control, radar, radar associate, etc.) shall be transcribed separately. Do not integrate different operational positions into the transcription unless requested by the regional AT division or AAT-20. Facilities equipped with the DVRS shall prepare transcripts containing transmissions from the call file immediately preceding and immediately after the 5-minute before and after requirement. Regardless if the facility utilizes an analog voice recorder system or DVRS, the transcript shall reflect all communications as described and prepared in paragraph 76.

b. Those facilities providing normal service statements (see paragraph 69) do not need to provide a transcript unless requested by the regional AT division, AAT-20, or when notified that litigation is pending.

c. When informed that litigation is pending on a particular accident, and upon being instructed by AAT-20, a complete typewritten full transcription shall be prepared and contain all recorded communications for a period of 5 minutes before initial contact until 5 minutes after the last contact with the subject aircraft (see paragraph 76a NOTE). Facilities equipped with the DVRS shall prepare transcripts containing transmissions from the call file immediately preceding and immediately after the 5-minute before and after requirement. Regardless if the facility utilizes an analog voice recorder system or DVRS, the transcript shall reflect all communications as described and prepared in paragraph 76. The full transcription shall consist of all voice or interphone transmissions during the defined time period. Each operational position (i.e., ground control, local control, radar, radar associate, etc.) shall be transcribed separately. Do not integrate different operational positions into the transcription unless requested by the regional AT division or AAT-20. Full transcriptions shall be made from a copy of the voice recording, not the original recording, to protect the original from wear and damage. The original recording may be used to check the transcription.

d. The transcription will be prepared as follows:

(1) The first page shall be an FAA memorandum and contain the following information:

(a) For "Subject," type "INFORMATION: (Full/Partial) Transcript; Aircraft Accident (aircraft identification); (accident location, city, state); (UTC date)."

(b) For "Date," type the date the transcription was certified and signed.

(c) For "From," type name of the facility preparing the transcription, not the facility manager's name.

(d) For "To," type "Aircraft Accident File (facility file number)."

(e) For the first line of the body of the memorandum, type "This transcription covers the (facility) (operational position) position for the time period from (UTC date and UTC time) to (UTC date and UTC time)."

(f) List of facilities, position(s), and/or aircraft making transmissions and the standard abbreviation for each. These shall be listed in chronological order.

(g) Certification by the person making the transcription (not the AT manager unless he or she prepared the transcription) is as follows:

"I hereby certify that the following is a true transcription of the recorded conversations pertaining to the subject (aircraft accident, near midair collision, etc.) involving (aircraft identification):"

Signature
_____ Name
_____ Title
_____ Name of Facility

(2) Facilities indicated in the transcription shall be abbreviated by using their location identifier followed by the appropriate abbreviation: AFSS, ARTCC, ATCT, FCT, CERAP, FSS, IATSC, IFSS, RAPCON, RATCF, or TRACON. Air carriers shall be indicated by the appropriate company designator from the latest edition of Order 7340.1, Contractions. Air carrier flights shall be indicated by the company designator and the flight number. These should be listed in chronological order.

(3) The transcription shall be single spaced. Each contact shall be separated by triple spacing. If a cardinal minute is indicated between contacts it shall represent one of the triple spaces, and one blank line shall be added (either prior to or after the cardinal minute) to meet the triple spacing requirement. If two or more cardinal minutes are indicated, the triple spacing requirement is met and no blank lines are required. If transmissions of more than one agency/facility (center, tower, FSS, aircraft operations office, etc.) are recorded, each transmission shall be prefaced by the transmitting agency abbreviation. If breaks occur during any contact, indicate by three dashes.

(a) If time-announce systems are present, time entries shall be entered at the beginning of each transmission. When time-announce systems are not present, a remark shall be entered in the certification regarding the timing method used.

(b) If electronically digital time systems are present, time entries including seconds shall be entered to the left of each transmission. All cardinal minutes shall be indicated unless:

(1) A transmission beginning with or extending through a cardinal minute in which case the next cardinal minute shall be indicated (see Appendix 2).

(2) If four or more cardinal minutes have passed without any transmissions. The grouping of the times is optional, however, if used shall be indicated as follows: The minutes being grouped shall be in parentheses and separated by a single dash. Example (1708-1720). The grouped minutes shall have a single cardinal minute on the line immediately above and below the grouped minutes.

(4) The transcription shall be lower case and verbatim. Abbreviations and punctuation (commas, periods, etc.) shall not be used. An apostrophe shall be used to indicate contractions (I've, I'm, etc.). For spoken numbers, spell the numbers out exactly as spoken. If the recording is unintelligible, insert "unintelligible" in parentheses in the proper location. When an interpretation of a garbled word or portion of a word is required, the interpretation shall be enclosed in parentheses and preceded by an asterisk. An asterisked footnote following the transcription shall read:

"This portion of the re-recording is not entirely clear, but this represents the best interpretation possible under the circumstances."

(5) Additional pages should have the accident number and aircraft call sign or registration number in the upper left corner, with "page (number) of (number)" two lines below this entry.

(6) Center at the end of the transcript, "End of Transcript."

78. RETENTION OF VOICE RECORDINGS.

a. Voice recordings shall be retained as follows:

- (1) For an aircraft accident:
 - (a) Requiring a formal accident file – 5 years.
 - (b) Requiring an informal accident file – 2½ years.
- (2) For an aircraft or AT incident – 2½ years.
- (3) For all suspected aircraft accidents or incidents later determined to be a nonoccurrence, the original voice recordings shall be re-recorded on a cassette as outlined in paragraph 76. These cassette rerecordings shall be retained for 45 days.

b. When it is necessary to retain the original voice recording (see paragraph 78c) after the completion of the accident or incident investigation and when it is reasonably certain that satisfactory re-recordings were obtained and that further playback of the original tape is unlikely:

(1) Analog Voice Recorders Only. The AT facility shall remove the pertinent section of the original tape and splice and store that section on a reel, film canister, or other storage medium designated for that purpose. Care shall be taken to document on the storage reel, film canister, or other storage medium that the reel, film canister, or other storage medium is for that purpose, and to list each accident or incident on the reel, film canister, or other storage medium, along with the date to be destroyed, as described in the latest edition of Order 1350.15. Accident and incident tapes may be stored on the same reel. A length of blank tape or white leader tape should be used to separate each accident or incident tape section.

NOTE: Do not cut an original recording when you have been notified of litigation or when a FOIA request has been made to hold the entire tape.

(2) Digital Voice Recorders Only. The AT facility shall transfer the recorded data of all facility channels (i.e., frequencies and/or land lines) on each digital recorder unit from which there are pertinent recording(s) onto a digital audio tape.

c. Unless a formal accident file/package is required (see paragraph 70a), original voice recordings shall be re-recorded on a cassette and certified as the original re-recording. The original voice tape shall be returned to service except as follows:

- (1) Original recordings held for FOIA requests shall be held until the time period specified to the requester has elapsed.
- (2) Original recordings held at the direction of AAT-20 for the NTSB or the General Counsel shall be held until a written release is obtained.
- (3) Use the recording procedure specified in paragraph 76b. Use the following procedures before placing the original tape back in service:

(a) Check the certified re-recording thoroughly for the quality of the voice and time channels.

(b) Certify the re-recording as a re-recording of the original.

(c) Remove the plastic tabs at the top of the cassette to preclude any further recording on the cassette.

(d) Retain the certified re-recording in the accident file, AT incident file, or secure area.

79. RETENTION AND DISPOSAL OF AIRCRAFT ACCIDENT RECORDS. Retain aircraft accident records as follows, as described in the latest edition of Order 1350.15:

a. Formal Accident File Containing Original Documents and Facility Accident Package. The file and any original documents it contains shall be kept in a secure filing cabinet. Original documents in the file may be packed separately. The file shall be clearly marked "ACCIDENT FILE" with the facility accident number, aircraft registration or flight number, aircraft type, accident UTC date and UTC time, and the UTC date the file is to be destroyed. If the file is being held for litigation, it shall be clearly marked as such and the date to be destroyed shall be obliterated. Any FOIA requests and replies shall be kept in the file. The file shall be destroyed 5 years after the accident date except in litigation cases when it shall be held until a written notification is received from AAT-20 that all litigation has been completed. The file shall then be destroyed 30 calendar days from the receipt of the AAT-20 memorandum. In the event that such notification is received prior to 5 years after the accident, retention requirements revert to the provisions of the latest edition of Order 1350.15.

b. Formal Accident Package Containing Copies of Originals. Retain as above except that the date the package will be destroyed shall be 2½ years after the accident date.

c. Informal Accident Files Containing Originals or Copies. Handle as in paragraph 79a except that the date the file will be destroyed shall be 2½ years after the accident date.

| d. Computer Data.

(1) For aircraft accidents or incidents. Computer data such as data analysis and reduction tool (DART), continuous data recording (CDR), and National Track Analysis Program (NTAP) shall be extracted onto an electronic storage medium (i.e., diskette, computer diskette – recordable [CD-R], zip diskette, etc.) after 15 calendar days. After extraction onto the electronic storage medium, the diskette, CD-R, or zip diskette, etc., shall be checked to ensure the completeness and accuracy of the transferred data. The electronic storage medium shall be retained in the Air Traffic Accident File and clearly marked as in paragraph 79a. The data shall be part of the accident file, not the accident package. The computer tape, disks, or disk packs shall be returned to service after 15 calendar days except when holds are placed on it by AAT-20, the AT division, or due to FOIA requests. In these cases, the tape shall be held and clearly marked with "Hold" the reason (FOIA, etc.), the aircraft registration or flight number, and the accident UTC date. The AT facility shall insist instructions for release of a tape being held shall be in writing. When a tape is being held for FOIA requests, obtain a release from AAT-20 after the FOIA hold has expired. This is to ensure that the Office of the Chief Counsel, Litigation Division, is aware of FOIA activity.

(2) For all suspected aircraft accidents or incidents. All computer data shall be retained 45 calendar days.

e. Tapes Removed From Service. A voice or computer tape may be removed from service because of a request by another facility or FAA office for the tape's use in an investigation. If no further data are requested or provided, that tape will be returned to service 90 calendar days after removal from service.

f. FSDPS Facilities. The computer tapes shall be returned to service 15 calendar days after the data reduction.

g. AFSS's. AFSS's shall retain the certified original computer data reduction for 5 years for a formal file.

h. Withdrawn.

i. DAWN or AIS Host Facilities. DAWN or AIS host facilities shall forward the original historical package to the requesting facility 15 calendar days after the date of the accident.

j. DAWN or AIS Facilities Preparing an Accident Package. DAWN or AIS facilities (host and nonhost) preparing an accident package shall, after the 15-calendar-day retention period, place the original data in a file separate from the package and retain the data for the period required for the package being prepared.

80. AIR TRAFFIC INCIDENT NOTIFICATION AND REPORTING. The reporting of AT incidents is accomplished using forms and procedures which are summarized below. Data collection methods are similar to those described earlier for aircraft accidents and aircraft incidents. An AT incident encompasses all problems not affecting the aircraft directly; e.g., NMAC's, pilot deviations, vehicle or pedestrian deviations, and maneuvers by pilots due to an emergency and/or traffic alert and collision avoidance system (TCAS) resolution advisory (RA) that result in a loss of separation. An AT incident differs from an aircraft accident or aircraft incident, which includes accidents, emergency evacuations, in-flight major component failures, and other occurrences. Appendix 2 contains a flowchart summarizing the reporting process for AT incidents.

a. What to Report. AT facilities shall report:

- (1) NMAC's.
- (2) U.S. Air Force HATR's.
- (3) U.S. Army OHR's.
- (4) Pilot deviations.
- (5) Incidents which adversely affect the capabilities of AT facilities to provide services.
- (6) Maneuvers by pilots due to an emergency and/or TCAS RA that result in the loss of separation.
- (7) Any other AT incident that, in the opinion of the reporting facility or person, requires notification; e.g., vehicle or pedestrian deviations.

b. How to Report. The following forms and procedures will be used:

- (1) FAA Form 8020-21 for NMAC's, HATR's, and OHR's (see paragraphs 81 to 83).
- (2) FAA Form 8020-17 for pilot deviations including reckless flying incidents observed by AT (see paragraph 84). For reckless flying incidents not observed by AT but reported to AT, refer the reporter to the appropriate FSDO.
- (3) FAA Form 8020-11 for emergency evacuations observed by AT, selected parachute-jumping incidents, maneuvers by pilots due to an emergency and/or TCAS RA that result in the loss of separation, and other incidents which adversely affect the capabilities of AT facilities to provide services (see paragraphs 85, 87, and 88). Do not use FAA Form 8020-11 to report vehicle or pedestrian deviations.

NOTE: TCAS RA occurrences that do not result in the loss of separation are not reportable incidents unless the AT division, AAT-20, or FSDO determines the incident is of such significance that it should be reported on FAA Form 8020-11.

(4) FAA Form 8020-24 is to be used to report vehicle or pedestrian deviations, including those that result in an accident.

(5) Other incidents including forcible seizure of aircraft (hijack), hazardous materials, sonic boom complaints, complaints of noise or damage allegedly caused by civil aircraft, and unidentified flying objects are handled as described in paragraph 89.

c. Methods of Data Collection and Disposal. The methods of data collection for AT incidents parallel that for accidents. Information is given on data collection and certification (paragraph 71), personnel statements (paragraph 75), re-recording, transcription, and retention of voice recordings (paragraphs 76 to 78).

81. NEAR MIDAIR COLLISIONS (NMAC).

a. When a pilot or flight crewmember announces the intent to file a NMAC report, obtain the following information that is requested on FAA Form 8020-21 (see Appendix 2):

(1) UTC date, UTC time, and location of NMAC (Item 1).

(2) Fix or facility nearest NMAC (Item 2).

(3) NMAC location in respect to fix or facility (Item 3).

(4) Aircraft information (Items 4E to 4H and 5E to 5H).

(5) Type of flight rules during NMAC (Item 7).

(6) Aircraft altitude during NMAC (Item 10).

(7) Closest separation during NMAC (Item 16).

(8) Brief description of NMAC and comments (Item 21). This description shall include, however not be limited to, pertinent actions of the pilot(s) involved and Air Traffic control, and pilot's or flight crewmember's comments and/or concerns as reported.

b. If the reporting flight crewmembers desire to be met at their destination, or if it is not feasible to obtain the information via radio, advise them that an attempt will be made to have the flight met. Contact the AT facility at or nearest the flight's destination and request that personnel meet the aircraft and obtain the appropriate information. The normal order of facilities to be contacted to send personnel to meet the aircraft is:

(1) ATCT.

(2) AFSS or FSS.

(3) ARTCC.

(4) FSDO.

c. Make every effort to locate and identify the other aircraft. If the identity of the other aircraft is determined, obtain the same data as from the reporting flightcrew if the flightcrew is on the frequency being used. If the traffic load does not permit this, receive information over an alternate frequency. If the aircraft is not on the frequency, arrange to have the pilot call the AT facility or for an FAA representative to meet the pilot, using the guidelines in paragraph 81b.

d. The reporting facility shall assign a unique 12-character incident report number to each NMAC. The incident report number, to be used only for tracking by FAA, is assigned as follows:

(1) The first character is "N" for NMAC

(2) The second and third characters are the abbreviation of the FAA region in which the deviation occurred.

AL - Alaskan	NM - Northwest Mountain
CE - Central	SO - Southern
EA - Eastern	SW - Southwest
GL - Great Lakes	WP - Western-Pacific
NE - New England	

(3) The fourth character identifies the type of facility completing the form.

C - ARTCC	R - TRACON
Z - FSDO or other	F - AFSS or FSS
T - ATCT	

(4) The fifth through seventh characters are the facility location identifier (e.g., ZNY) or the FSDO identification (e.g., 025). For combined TRACON and ATCT operations, use the appropriate location identifier; e.g., the O'Hare TRACON would use "C90" and the O'Hare ATCT would use "ORD." See the latest edition of Order 7350.6, Location Identifiers.

(5) The eighth and ninth characters are the calendar year in which the NMAC occurred; e.g., 95 for 1995.

(6) The last three characters are the sequential NMAC number for the year by reporting facility; e.g., NMAC's would be numbered 001 to 999 in 1995 at a given facility.

e. Transmit or arrange to be transmitted information from paragraph 81a along with the incident report number in numerical order within three hours of the NMAC notification by:

(1) Telephone, facsimile, or in accordance with a regional agreement to the FS division and the regional FSDO with jurisdiction over the area in which the NMAC occurred.

(2) NADIN message using immediate (DD) precedence to:

- (a) Director, Air Traffic Service, AAT-1.
- (b) Evaluations and Investigations Staff, AAT-20.
- (c) The regional Air Traffic division.
- (d) The responsible Air Traffic facility, if appropriate.
- (e) Director, Flight Standards Service, AFS-1.
- (f) Planning, Information, and Analysis Program, ATX-400.

f. Immediately notify the regional AT division, AAT-20, and the Washington Operations Center through the Regional Operations Center by telephone when any of the following NMAC's occur:

(1) Significant NMAC's (e.g., involving air carriers, air taxis, media interest, or prominent persons).

(2) Civil aircraft when the reported horizontal or vertical separation is less than 100 feet.

(3) Injuries to personnel or structural damage to an aircraft. A NMAC with a fatality is classified as an aircraft accident but shall be reported and documented as an aircraft accident and as an NMAC.

(4) Actual or potential press coverage.

(5) Civil turbojet regardless of the type of flight.

g. The facility providing AT services, regardless of airspace, to the reporting aircraft at the time of the occurrence shall:

(1) Remove the tapes and make a certified cassette re-recording and a certified re-recording to replace the original marked "Original" (see paragraph 78c) of all voice transmissions pertaining to the NMAC from 5 minutes before to 5 minutes after the occurrence.

NOTE: When pertinent recorded telephone conversations (see Order 7210.3, paragraph 3-3-2d) will assist the investigation, these re-recordings shall be included.

(2) Obtain personnel statements from all ATC personnel involved in the NMAC.

(3) Obtain, when possible, an NTAP or a data reduction plot for 2 minutes before until 1 minute after the NMAC.

h. Complete FAA Form 8020-21 from tape recordings and statements. Attach all the pertinent data; e.g., transcriptions (when requested) and statements. Keep the original and mail one copy each by first class mail within 10 calendar days of the NMAC notification to the:

- (1) Regional Air Traffic division.
- (2) Regional Flight Standards division.
- (3) FSDO responsible for the investigation.
- (4) Planning, Information, and Analysis Program, ATX-400.

i. If a facility learns of an NMAC report more than 15 calendar days after it was reported to have occurred (i.e., when the tapes may no longer be available), conduct an investigation based on the data available.

j. Only a pilot or flight crewmember can file an NMAC report. Information received from sources other than the pilot or flightcrew should be thoroughly investigated. Depending on the outcome of the investigation, process the occurrence as appropriate; i.e., operational error, Air Traffic incident, nonoccurrence, or pilot deviation, etc..

k. Complete FAA Form 8020-19 to correct a NMAC report number (see Appendix 2). Keep the original of FAA Form 8020-19 and distribute copies as soon as possible by mail to all recipients of the corresponding FAA Form 8020-21 (see paragraph 81h).

l. The facility shall retain the NMAC file for 2½ years, as described in the latest edition of Order 1350.15, unless the regional AT division or AAT-20 requests otherwise. The file shall contain the original FAA Form 8020-21, the original AT employee witness statements and other supporting documents, a certified cassette re-recording, the certified re-recordings (see paragraph 81g(1)), and other original data from which information was provided to the investigating FSDO or regional counsel. Affix a gummed label (maximum size 3" x 5") to the file. The label shall be clearly marked "NEAR MIDAIR COLLISION REPORT" with the report number, the reporting aircraft registration or flight number, aircraft type, incident UTC date and UTC time, and the UTC date the file is to be destroyed.

82. U.S. AIR FORCE (USAF) HAZARDOUS AIR TRAFFIC REPORTS (HATR).

a. Program and Reportable Events.

(1) The HATR program is the USAF system for collecting information on NMAC's and other hazardous AT situations. This program complements but does not replace similar reporting programs sponsored by the National Aeronautics and Space Administration (NASA) and the FAA.

(2) Reports cover events that occur during aircraft operations. Reportable events include those which, in the observer's opinion, create a potential for injury to personnel or damage to aircraft resulting from ATC services or procedures, landing systems, rules of the air (IFR and VFR operations), and airspace management; i.e., hazards associated with the use of military operations areas, military training routes, or local terminal airspace.

b. Receipt of HATR and Designation of Investigating Facility. The USAF files HATR's as appropriate. Notification will be as follows:

(1) The USAF unit flying safety office shall notify FAA by transmitting the HATR to the appropriate FAA regional AT division if a civil aircraft or FAA services are involved.

(2) The regional Air Traffic division shall:

(a) Alert the appropriate FAA AT facility(ies) promptly that a HATR is being forwarded by mail. This should result in the retention of pertinent records by the AT facility until the HATR arrives and an investigation is conducted.

(b) Designate which AT facility should coordinate the investigation if more than one FAA facility is involved.

(c) Coordinate the designation of the investigating AT facility with the Major Command (MAJCOM) having jurisdiction of the USAF facility if both USAF and FAA facilities are involved. An information copy of the HATR will be sent to Headquarters, AFFSA/XA, 1535 Command Drive, Suite D-309, Andrews AFB, Maryland 20762-7002; (240) 857-2175. If unable to determine which MAJCOM to contact, contact HQ AFCC for assistance.

(d) Forward the HATR to the appropriate FAA AT facility.

c. Air Traffic Facility Action.

(1) Upon receipt of a report that a HATR is being forwarded, retain all records relating to the incident.

(2) Upon receipt of the HATR:

(a) Complete FAA Form 8020-21 using information from the HATR and the facility investigation if an NMAC is reported. If an NMAC is not reported, respond with an FAA memorandum. Attach all pertinent data; e.g., transcription (when requested) and statements.

(b) Keep the original and mail one copy each by first class within 10 calendar days of the HATR notification to the:

(1) Evaluations and Investigations Staff, AAT-20.

- (2) Regional Air Traffic division.
 - (3) Regional Flight Standards division.
 - (4) Appropriate Flight Standards District Office.
 - (5) Planning, Information, and Analysis Program, ATX-400 (without attachments).
 - (6) Air Force Inspection and Safety Center (AFISC)/SEFA, Kirtland AFB, New Mexico 87117-5671 (without attachments).
 - (7) HQ AFFSA/XA, 1535 Command Drive, Suite D-309, Andrews AFB, Maryland 20762-7002; (240) 857-2175. (without attachments).
 - (8) Appropriate FAA regional Air Force representative (without attachments).
 - (9) Originating USAF unit flying safety office (without attachments).
 - (10) Appropriate MAJCOM's of facility or aircraft involved.
- (3) An AT facility receiving a hard copy HATR of an NMAC directly from the USAF shall complete FAA Form 8020-21, attach it to the HATR, and mail copies to all the addresses in paragraph 82c within 10 calendar days of the facility's receipt of the HATR.
- (4) The AT facility shall retain the original HATR, FAA Form 8020-21, and other related information in the facility's files in accordance with paragraph 811, except that the package shall be labeled "NEAR MIDAIR COLLISION REPORT (HATR)."

83. U.S. ARMY OPERATIONAL HAZARD REPORTS (OHR).

a. The Program and Reportable Events.

- (1) The OHR program is the Army system to collect information on NMAC's and other hazardous AT situations. This program complements but does not replace similar reporting programs sponsored by NASA and FAA.
- (2) Reports cover events that occur during aircraft operations. Reportable events include those which, in the observer's opinion, create a potential for injury to personnel or damage to aircraft resulting from ATC services or procedures, landing systems, rules of the air (IFR and VFR operations), and airspace management; i.e., hazards associated with the use of military operations areas, military training routes, or local terminal airspace.

b. Receipt of OHR and Designation of Investigating Facility. The Army files the latest edition of DA (Department of Army) Form 2696-R, Operational Hazard Report, as appropriate. Notification will be as follows:

(1) The Army unit aviation safety officer shall transmit OHR's to the appropriate FAA regional AT division followed by a full report by mail if a civil aircraft or FAA services are involved.

(2) The regional Air Traffic division shall:

(a) Alert the appropriate FAA AT facility(ies) promptly that an OHR is being forwarded by mail. This should result in the retention of pertinent records by the AT facility until the OHR arrives and an investigation is conducted.

(b) Designate which AT facility should coordinate the investigation if more than one FAA facility is involved.

(c) Coordinate the designation of the investigating AT facility with the U.S. Army Safety Center, Directorate of Operations, Operations Division, Fort Rucker, Alabama 36362-5363, (334) 255-3410 or (334) 255-2660, if both Army and FAA facilities are involved.

(d) Forward the OHR to the appropriate FAA AT facility.

c. Air Traffic Facility Action.

(1) Upon receipt of a report that an OHR is being forwarded, retain all records relating to the incident.

(2) Upon receipt of the OHR:

(a) Complete FAA Form 8020-21 using information from DA Form 2696-R and the facility investigation if an NMAC is reported. If an NMAC is not reported, respond with an FAA memorandum. Attach all pertinent data; e.g., transcription (when requested) and statements.

(b) Keep the original and mail one copy each by first class mail within 10 calendar days of the OHR notification to the:

(1) Evaluations and Investigations Staff, AAT-20.

(2) Regional Air Traffic division.

(3) Regional Flight Standards division.

(4) Appropriate Flight Standards District Office.

(5) Planning, Information, and Analysis Program, ATX-400 (without attachments).

(6) Commander, U.S. Army Safety Center, Attn: CSSC-SDA, Administrator Quality Control/Data Administration, Fort Rucker, Alabama 36362-5363 (without attachments).

(7) Unit aviation safety officer whose address is in block 11 (point of contact for further information) of DA Form 2696-R (without attachments).

(3) An AT facility receiving a hard copy OHR of an NMAC directly from the Army shall complete FAA Form 8020-21, attach it to the OHR, and mail it to all the addressees in paragraph 83c within 10 calendar days of the facility's receipt of the OHR.

(4) The AT facility shall retain the original OHR, FAA Form 8020-21, and related information in the facility's files in accordance with paragraph 811, except that the package shall be labeled "NEAR MIDAIR COLLISION REPORT (OHR)."

84. PILOT DEVIATIONS. When it appears that the actions of a pilot constitute a pilot deviation, which includes selected ARTCC electronically detected deviations (see paragraph 84l), controlled area intrusions (see paragraph 84m), and/or reckless flying (see paragraph 84o):

a. Notify the pilot, workload permitting, using the following phraseology: "(aircraft identification) possible pilot deviation advise you contact (facility) at (telephone number)."

b. Compile information pertinent to the incident.

c. Document the incident on FAA Form 7230-4.

d. Assign a unique 12-character incident report number to each pilot deviation. The incident report number to be used for tracking by the FAA is assigned as follows (see instructions on form):

(1) The first character is "P" for pilot deviation.

(2) The second and third characters are the abbreviation of the FAA region in which the deviation occurred.

(3) The fourth character identifies the type of facility completing the form.

NOTE: For combined TRACON and ATCT operations, use the character of the TRACON or ATCT reporting the pilot deviation.

(4) The fifth through seventh characters are the facility location identifier (e.g., ZNY) or FSDO identification code (e.g., 025). For combined TRACON and ATCT operations, use the appropriate location identifier (e.g., the O'Hare TRACON would use "C90" and the O'Hare ATCT would use "ORD.") See the latest edition of Order 7350.6.

(5) The eighth and ninth characters are the calendar year in which the pilot deviation occurred (e.g., 95 for 1995).

(6) The last three characters are the sequential pilot deviation number for the year by reporting facility (e.g., pilot deviations would be numbered 001 to 999 in 1995 at a given facility).

e. Complete the following on FAA Form 8020-17 (see Appendix 2):

- (1) Incident report number (see paragraph 84d).
- (2) Date, time, and location of deviation (Item 1).
- (3) Aircraft information (Item 4).
- (4) Type of flight rules at time of deviation (Item 6).
- (5) Aircraft altitude when deviation detected (Item 16).
- (6) If there was loss of separation (answer yes or no), if “yes”, then closest proximity (Item 26).
- (7) Brief description of deviation and comments (Item 28).

f. Transmit or arrange to be transmitted information from paragraph 84e in numerical order within three hours of the detection of a pilot deviation by:

- (1) Telephone, facsimile, or in accordance with a regional agreement to the regional FS division and the FSDO with jurisdiction over the area in which the pilot deviation occurred.
- (2) NADIN message using immediate (DD) precedence to the:
 - (a) Air Traffic Service, AAT-1.
 - (b) Evaluations and Investigations Staff, AAT-20.
 - (c) Regional Air Traffic division.
 - (d) Flight Standards Service, AFS-1.
 - (e) Planning, Information, and Analysis Program, ATX-400.

g. For significant pilot deviations (e.g., involving air carriers, air taxis, or prominent persons), immediately notify the regional AT division, AAT-20, and Washington Operations Center through the Regional Operations Center by telephone.

h. Complete FAA Form 8020-17 from tape recordings and statements. Attach all the pertinent data; e.g., transcriptions (when requested). A copy of FAA Form 8020-17 distributed to the FSDO responsible for the investigation should include a voice re-recording as an attachment. Keep the original and mail one copy each by first class mail within 10 calendar days of the detection of the pilot deviation to the:

- (1) Regional Air Traffic division.
- (2) Regional Flight Standards division.
- (3) Flight Standards District Office responsible for the investigation.
- (4) Planning, Information, and Analysis Program, ATX-400.

i. For pilot deviations involving U.S. Army and Navy pilots, send one copy of FAA Form 8020-17 to the appropriate regional AT division military representative and two copies to the applicable military service as follows:

- (1) Army: U.S. Army, Fort Belvoir, VA.
- (2) Navy: Chief of Navy Operations (OP-885), Department of the Navy, Washington, D.C. 20350-2000.

j. For pilot deviations involving USAF and Coast Guard pilots, send one copy of FAA Form 8020-17 to the appropriate regional AT division military representative and two copies to the commanding officer at the pilot's home base, if known.

k. For pilot deviations involving Coast Guard pilots whose home base is not known, send two copies of FAA Form 8020-17 to: Commandant, United States Coast Guard, 2100 2nd Street, SW., Washington, D.C. 20593-0001.

l. For ARTCC electronically detected deviations of more than 300 feet in which the separation between the deviating aircraft and another controlled aircraft decreases to less than 80 percent of the vertical or horizontal separation required by the latest edition of Order 7110.65, Air Traffic Control, take all actions as for a pilot deviation.

m. For controlled area intrusions into Class A or Class B airspace without authorization or Class C or Class D airspace without establishing communications with ATC, take all actions as for a pilot deviation.

(1) If the pilot was in radio communication with the facility, also provide the FSDO with signed controller statements and a certified re-recording of the conversation. The re-recording shall cover the time from 5 minutes prior until 5 minutes after the conversation.

NOTE: When pertinent recorded telephone conversations (see Order 7210.3, paragraph 3-3-2d) will assist the investigation, these re-recordings shall be included.

(2) If requested by the FSDO or regional counsel, also prepare and forward within 10 administrative days of the request the:

(a) Certified transcript of the recorded communications.

(b) ARTS III or NTAP data plot, as appropriate, of the aircraft flight path.

n. For spillouts that resulted in a loss of standard separation, as defined by the latest edition of Order 7110.65, take all actions as for a pilot deviation.

o. Reckless flying incidents should be treated as follows:

(1) For incidents observed by AT (such as low flying or buzzing aircraft), AT will take all actions as for a pilot deviation.

(2) For incidents reported to AT by the public or others but not observed by AT, a verbal report of the reported incident will be made to the FSDO or the caller will be asked to call the FSDO. For such incidents and reckless flying incidents reported to the FSDO directly, the FSDO will then transmit information from paragraph 84e by NADIN message via the Regional Operations Center and complete and file FAA Form 8020-17 as specified in paragraph 84h with the:

(a) Regional Flight Standards division.

(b) Planning, Information, and Analysis Program, ATX-400.

p. The Office of the Chief Counsel has instructed the Regional Counsel offices to notify regional Air Traffic divisions on their distribution lists about the outcome of final enforcement actions on controlled area intrusions. The regional Air Traffic division shall then notify the reporting controller, through the Air Traffic facility manager, of the outcome of the enforcement action.

q. Complete FAA Form 8020-19 to correct an incident report number (see Appendix 2). Keep the original of FAA Form 8020-19 and distribute copies by mail to all recipients of the corresponding FAA Form 8020-17 (see paragraph 84h).

r. The reporting facility shall retain the pilot deviation investigation file for 2 ½ years as described in the latest edition of Order 1350.15, unless the regional AT division or AAT-20 requests otherwise. This file shall contain the original FAA Form 8020-17, the original AT employee witness statements and other supporting documents, a certified cassette re-recording, the certified re-recording to replace the original (marked "Original" (see paragraph 78c)), and other original data from which information was provided to the investigating FSDO or regional counsel. Affix a gummed label (maximum size 3" x 5") to the file. The label shall be clearly marked "PILOT DEVIATION REPORT" with the report number, aircraft registration or flight number, aircraft type, incident UTC date and UTC time, and the UTC date the file is to be destroyed.

85. FAA FORM 8020-11, INCIDENT REPORT.

a. When a report is requested by the FSDO or when the requirement for a report is required by paragraph 80b(3), prepare FAA Form 8020-11 within 10 calendar days. Maneuvers by pilots due to an emergency and/or TCAS RA that result in the loss of separation must be reported to the Washington Operations Center and AAT-20, through the Regional Operations Center, as soon as practical and, in every case, within 3 hours of the occurrence. For vehicle or pedestrian deviations, use FAA Form 8020-24; do not use FAA Form 8020-11 (see paragraph 86).

b. Reports shall be numbered beginning with number 1 and continuing in numerical sequence without regard to year. The number shall be preceded by the 3-character facility identifier and the facility type identifier (e.g., ARTCC, TRACON, ATCT, AFSS). Examples:
"ZTL-ARTCC-95," "D10-TRACON-04," "HNL-ATCT-13," "SAT-AFSS-44."

c. Summarize the incident in brief form with enough details to permit complete understanding. If appropriate, show the chronological order of events by citing the specific UTC time. Include the UTC date if it differs from the "Time of Incident" (calendar date based on local time). Ensure that statements are substantiated by factual data.

d. Include the following statement under "Remarks" unless determined otherwise by the facility AT manager:

"This is an information copy only to record the circumstances surrounding the subject incident. The FSDO or other appropriate authority will determine and make notification of any further/pending action."

e. List under "Remarks" the facility records on file at the facility such as recorder tapes, flight progress strips, or any other records pertaining to the incident.

f. List under "Attachments" the copies of the facility records forwarded with the report.

g. For those incidents that the USAF Inspection and Safety Center (AFISC) has requested a formal report but the FSDO has not required FAA Form 8020-11, act upon by normal letter correspondence.

h. Retain the original in the facility's files and mail one copy each by first class mail within 10 calendar days of the detection of the incident to the:

- (1) Regional Air Traffic division.
- (2) Adjacent regional Air Traffic division when required.
- (3) Evaluations and Investigations Staff, AAT-20.
- (4) Requesting FSDO or the FSDO responsible for the investigation.

i. Refer requests from other offices for additional copies of FAA Form 8020-11 to the recipient of the action copy of the report. The regional Air Traffic division will furnish listings of the FSDO's and mailing instructions as required.

j. The reporting facility shall retain the incident file for 2½ years as described in the latest edition of Order 1350.15 unless the regional AT division or AAT-20 requests otherwise. The file shall contain the original FAA Form 8020-11, the original AT employee witness statements and other supporting documents, a certified cassette re-recording (when appropriate), the certified re-recording to replace the original (when appropriate) and marked "INCIDENT PACKAGE" (see paragraph 78c), and other original data from which information was provided to the investigating FSDO or regional counsel. Affix a gummed label (maximum size 3" x 5") to the file. The label shall be clearly marked "INCIDENT PACKAGE" with the report number, aircraft registration or flight number, aircraft type, incident UTC date and UTC time, and the UTC date the file is to be destroyed. The facility may elect to indicate the type of incident on the label (i.e., "TCAS RA MANEUVER," "EMERGENCY MANEUVER," etc.).

86. VEHICLE AND PEDESTRIAN DEVIATIONS. When an unauthorized vehicle or pedestrian is observed by air traffic control or other parties on any portion of the airport movement area:

a. Compile the following information, which is requested on FAA Form 8020-24:

- (1) Local date, UTC time, local time, and location of vehicle or pedestrian deviation (Item 1).
- (2) Type of deviation (vehicle or pedestrian, Item 2).
- (3) Type of vehicle, if applicable (Item 3).
- (4) Surface detection equipment information (Item 10).
- (5) Location of vehicle or pedestrian deviation on movement area (Item 11).
- (6) Loss of separation (yes or no, Item 16).

(7) Brief description of vehicle or pedestrian deviation (Item 19).

b. Assign a unique 12-character incident report number to each vehicle or pedestrian deviation. The incident report number, to be used only for tracking by FAA, is assigned as follows:

(1) The first character is "V" for vehicle or pedestrian deviation.

(2) The second and third characters are the abbreviation of the FAA region in which the deviation occurred.

(3) The fourth character identifies the type of facility completing the form.

(4) The fifth through seventh characters are the facility location identifier (e.g., DIA). See the latest edition of Order 7350.6.

(5) The eighth and ninth characters are the calendar year in which the vehicle or pedestrian deviation occurred; e.g., 99 for 1999.

(6) The last three characters are the sequential vehicle or pedestrian deviation number for the year by reporting facility; e.g., vehicle or pedestrian deviations would be numbered 001 to 999 in 1999 at a given facility.

c. Transmit, or arrange to be transmitted, information from paragraph 86a in numerical order within 3 hours of the detection of a vehicle or pedestrian deviation by:

(1) Telephone, facsimile, or in accordance with a regional agreement to the regional Airports division with jurisdiction over the area in which the vehicle or pedestrian deviation occurred.

(2) NADIN message using immediate (DD) precedence to:

(a) Air Traffic Service, AAT-1.

(b) Evaluations and Investigations Staff, AAT-20.

(c) Regional Air Traffic division.

(d) Office of Airport Safety and Standards, AAS-1

(e) Planning, Information, and Analysis Program, ATX-400.

d. For significant vehicle or pedestrian deviations (e.g., involving air carriers, air taxis, or prominent persons), immediately notify the regional Airports division, AAT-20, and the Washington Operations Center through the Regional Operations Center by telephone.

e. Notify the airport operator (or designee such as airport manager or security) as soon as practicable.

f. Document the incident on FAA Form 7230-4 and include the name of the airport operator representative who was notified of the incident.

g. Complete FAA Form 8020-24 and attach all pertinent data, e.g., airport diagram. Keep the original and mail one copy each by first class mail within 10 calendar days of the detection of the vehicle or pedestrian deviation to the:

- (1) Regional Air Traffic division.
- (2) Regional Airports division responsible for the investigation.
- (3) Evaluations and Investigations Staff, AAT-20.
- (4) Planning, Information, and Analysis Program, ATX-400.

h. For vehicle or pedestrian deviations involving military personnel, send one copy of FAA Form 8020-24 to the appropriate regional Air Traffic division military representative and two copies to the applicable commanding officer.

i. Complete FAA Form 8020-19 to correct an incident report number (see Appendix 2). Keep the original of this form and distribute copies by mail to all recipients of the corresponding FAA Form 8020-24 (see paragraph 86g).

j. The reporting facility shall retain the vehicle or pedestrian deviation investigation file for 2½ years as described in the latest edition of Order 1350.15 unless the regional AT division or AAT-20 requests otherwise. This file shall contain the original FAA Form 8020-24 and original supporting documents. Affix a gummed label (maximum size 3" x 5") to the file. The label shall be clearly marked "VEHICLE OR PEDESTRIAN DEVIATION REPORT" with the report number, aircraft registration or flight number, aircraft type (if aircraft involved), incident UTC date and UTC time, and the UTC date the file is to be destroyed.

87. EMERGENCY EVACUATIONS. An emergency evacuation, while considered an aircraft incident (see paragraph 64), will be reported on FAA Form 8020-11 and the form forwarded to the appropriate FSDO for investigation. Do not use FAA Form 8020-3 or FAA Form 8020-9. If the evacuation results in a serious injury or a fatality, however, the evacuation is considered an aircraft accident and the pertinent procedures will be followed. The reporting facility shall retain documentation as described in paragraph 85j.

88. PARACHUTE-JUMPING INCIDENTS. If AT is notified of a parachute-jumping incident for an aircraft under its control, AT shall call the appropriate FSDO and ask if FAA Form 8020-11 should be filed. If notified of an incident for an aircraft not under its control, the information shall be forwarded to the appropriate FSDO. The reporting facility shall retain documentation as described in paragraph 85j.

89. MISCELLANEOUS INCIDENTS.

a. Forcible Seizure of Aircraft (Hijack). FAA personnel receiving information from reliable sources of a forcible seizure of an aircraft shall immediately notify the area manager of the associated ARTCC. The area manager shall immediately notify the Washington Operations Center through the Regional Operations Center.

b. Hazardous Materials. If AT is notified of a possible hazardous materials incident, the reporting party should be advised to contact the appropriate FSDO and regional Civil Aviation Security division and be given the appropriate telephone numbers. This requirement is contained in 49 CFR 175.45. The reported incident shall be logged on FAA Form 7230-4 along with the name of the reporting party.

c. Sonic Boom Complaints. If AT is notified of a sonic boom complaint, the matter shall be referred to the nearest military installation.

d. Complaints of Noise or Damage Allegedly Caused by Civil Aircraft. When AT receives a telephone complaint of noise or damage allegedly caused by civil aircraft, the complaint should be handled tactfully. If unable to satisfy the complainant, the matter should be referred to the appropriate FSDO. Written complaints of noise or damage allegedly caused by civil aircraft shall be coordinated with the appropriate FSDO.

e. Unidentified Flying Objects (UFO). When AT receives a report of a UFO, and if concern is expressed that life or property might be endangered, refer the individual to the local police department.

90. FLIGHT STANDARDS.

a. When a Flight Standards (FS) inspector receives notification of an aircraft accident or an aircraft incident from a source other than AT, the inspector shall immediately notify the appropriate AT facility and provide the information needed to complete FAA Form 8020-9. Appendix 3 contains a flowchart showing the FS flow of information for accidents and incidents.

b. The FS inspector receiving the initial notification shall act as the FAA IIC until or unless another inspector is assigned.

c. The FS regional office manager and the district office manager shall make arrangements for receiving aircraft accident and incident notifications from FAA facilities within the district office's geographical area of responsibility.

d. After arrival at the accident scene, the FAA IIC shall as soon as possible make an initial telephone progress report through the Washington Operations Center to AAI-100 on all available information when the accident meets the following criteria: the accident is of a catastrophic nature, is of strong public interest, is a nationally newsworthy occurrence, or is of special interest to AAI-100. In these cases, the Washington Operations Center will arrange a teleconference with the Regional Operations Center operations officer and other appropriate personnel. The need for continuing on-scene telephone reporting will be discussed with the AAI-100 duty officer. The FAA IIC will also give AAI-100 the location and telephone number of the NTSB command post or a telephone number at which the FAA IIC may be contacted during the field phase.

e. When the occurrence described in the initial message is determined not to be an accident, a second message shall be transmitted. The second message shall cite the registration number, make and model, and date of occurrence noted in the initial message and shall include the statement "not an accident."

f. The FAA IIC shall provide updated information for a second message when an accident involves operations conducted in accordance with an air carrier operating certificate. The revised information shall be provided as soon as it is available. The information that should have been transmitted in the initial message is indicated as "unknown" or is incorrect. However, the initial FAA Form 8020-9 message should not be delayed in order to incorporate updated information.

91. AIRCRAFT OPERATOR. Operator notification responsibilities are contained in NTSB regulations, 49 CFR 830 (see Appendix 4).

92. AIRCRAFT CERTIFICATION OFFICES.

a. The following action should be taken when initiating or relaying notification of aircraft accidents or incidents that are, or are suspected to be, related to the airworthiness of an aircraft:

(1) For accidents or incidents involving aircraft operated by 14 CFR 121, 125, 133, or 135 certificate holders, the FSDO manager responsible for the investigation shall notify the ACO responsible for the product (aircraft, engines, or propellers) involved (if there is a question regarding certification) and the district office holding the operator's certificate. Also, whenever a principal operations inspector or maintenance inspector becomes aware of an Incident involving the airworthiness of an aircraft operated by the inspector's assigned air carrier, the inspector shall ensure that the ACO responsible for the product is notified. Initial notification shall be made through the Regional Operations Center responsible for maintaining an accurate and current contact roster.

(2) For all other aviation accidents or incidents involving an aircraft's airworthiness, the FSDO manager responsible for the investigation shall notify the ACO responsible for the product involved.

b. When the ACO manager receives initial notification of an airworthiness-related accident or incident, the manager should ensure that the appropriate geographic and accountable directorate managers are notified.

c. The FAA IIC shall keep the ACO manager informed of the progress of airworthiness-related investigations until the ACO manager determines that on-scene participation by an engineering specialist or a design-related corrective action will be required.

d. The ACO manager shall keep the appropriate directorate managers advised of the progress of the investigation. If on-scene participation by engineering specialists is desired, AAI-100 will request that the needed specialists be authorized to participate through the accountable directorate manager.

e. To facilitate these notifications, directorate managers shall ensure that the Regional Operations Center in each region in which the directorate maintains an ACO is provided with a current personnel directory, including office and home telephone numbers, of key Aircraft Certification personnel in the directorate.

f. Notification requirements in paragraph 92 apply when the product involved is a foreign product similar to one with a U.S. type certificate.

93. FOREIGN AIR CARRIERS. The FAA IIC shall notify the FSDO (with 14 CFR 129 responsibility for the foreign air carrier involved) of any accident or incident investigation involving a foreign air carrier in a U.S. jurisdictional area. The FSDO will be responsible for informing the appropriate foreign government aviation agency and the foreign air carrier's representative of the occurrence. In addition, the FAA IIC shall also notify the Manager, Global Issues Division, AIA-100, of the occurrence through the Washington Operations Center. The location of the office with 14 CFR 129 responsibility for each foreign air carrier is in the Air Operations System data base available through the FSDO's or regional Flight Standards division's computer. The FAA IIC shall document a foreign air carrier accident or incident in a U.S. jurisdictional area on FAA Form 8020-23, FAA Accident/Incident Report.

94 - 109. RESERVED

APPENDIX 2. EXAMPLES OF FORMAL ACCIDENT PACKAGE AND OTHER FORMS USED BY AIR TRAFFIC

PART 1. FORMAL ACCIDENT PACKAGE

	<u>Page No.</u>
a. Accident Package Labeling	2
b. Package Divider Sheet	4
c. Table of Contents	6
d. FAA Form 8020-6, Report of Aircraft Accident	10
e. FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet)	12
f. Certified Indexes	22
g. Normal Service Statement(s)	24
h. FAA Form 7230-4, Daily Record of Facility Operation	38
i. Personnel Logs	42
j. FAA Form 7230-10, Position Logs (or Automated Equivalent)	46
k. Facility Layout Chart	52
l. Airport Diagram	56
m. Flight Progress Strips (State Form Numbers and Names of Each)	60
n. Transcriptions of Voice Recordings	64
o. FAA Form 8020-3, Facility Accident/Incident Notification Record	76
p. Personnel Statements	80
q. Weather Products	88
r. Non-published NOTAM's	90
s. FAA Form 7233-2, Preflight Briefing Log (or Automated Equivalent)	90
t. FAA Form 7233-1, Flight Plan (or Automated Equivalent)	90
u. Other	90

PART 2. INCIDENT FORMS

a. FAA Form 8020-21, Preliminary Near Midair Collision Report	91
b. FAA Form 8020-17, Preliminary Pilot Deviation Report	94
c. FAA Form 8020-19, Reclassification of Aviation Incident Report	97
d. FAA Form 8020-11, Incident Report	98
e. FAA Form 8020-24, Preliminary Vehicle or Pedestrian Deviation Report	99

a. Accident Package Labeling.

Assemble package in a top-fastening hard cover binder with a cover label, dividers, and sections. Affix a gummed label (maximum size 3" x 5") to the front cover. The label shall be clearly marked "AIRCRAFT ACCIDENT PACKAGE" with the facility accident number, aircraft registration or flight number, aircraft type, accident UTC date and UTC time, and the UTC date the package is to be destroyed (the original accident package -- 5 years; copies of the original package -- 2½ years).

Example of label on original:

**AIRCRAFT ACCIDENT PACKAGE
ARV-ATCT-004
N1234A, BE35
March 9, 2003, 1832 UTC
Destroy: March 9, 2008 UTC**

Example of label on copy of the original:

**AIRCRAFT ACCIDENT PACKAGE
ARV-ATCT-004
N1234A, BE35
March 9, 2003, 1832 UTC
Destroy: September 9, 2005 UTC**

AIRCRAFT ACCIDENT PACKAGE
ARV-ATCT-004
N1234A, BE35
March 9, 2003, 1832 UTC
Destroy: March 9, 2008 UTC

b. Package Divider Sheet.

Insert a sheet of plain bond paper between each section with the section number and title of the section centered on the page. If the information called for by a specific section is unavailable or not pertinent, use that section number for the next required item so that the numbers remain in sequence. All information in each section shall be in the chronological order of flight. Every page shall reference the accident number and aircraft registration or flight number.

05/12/03

ARV-ATCT-004
N1234A

8020.11B CHG 1
Appendix 2

Section 1.
Table of Contents

c. Table of Contents.

Select appropriate items necessary for each package and assemble in the order listed. The table of contents included is an example of items for inclusion in a typical accident package. If the documentation dictates more or fewer items be included, adjust the number of the section accordingly (paragraph 72c). The table of contents should list only those items included in the package; i.e., if Section 14 only includes PIREP's, do not list NOTAM's, SIGMET's, and AIRMET's.

The accident package data received from other facilities shall be incorporated behind the appropriate sections; i.e., normal services statement(s), personnel statements, etc. Arrange this material and forms from other facilities under the appropriate section and in chronological order beginning with the first facility having contact with the aircraft and then in order of involvement.

SECTION 1.	Table of Contents
SECTION 2.	FAA Form 8020-6, Report of Aircraft Accident, and FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet)
SECTION 3.	Certified Indexes and Normal Service Statement(s)
SECTION 4.	FAA Form 7230-4, Daily Record of Facility Operation
SECTION 5.	Personnel Logs
SECTION 6.	FAA Form 7230-10, Position Logs (<i>or automated equivalent</i>)
SECTION 7.	Facility Layout Chart
SECTION 8.	Airport Diagram
SECTION 9.	Flight Progress Strips (<i>state form numbers and names of each</i>)
SECTION 10.	Transcriptions of Voice Recordings
SECTION 11.	FAA Form 8020-3, Facility Accident/Incident Notification Record
SECTION 12.	Personnel Statements
SECTION 13.	Weather Products
SECTION 14.	Non-published NOTAM's
SECTION 15.	FAA Form 7233-2, Preflight Briefing Log (<i>or automated equivalent</i>)
SECTION 16.	FAA Form 7233-1, Flight Plan, (<i>or automated equivalent</i>)
SECTION 17.	Other

ARV-ATCT-004
N1234A

TABLE OF CONTENTS

SECTION 1.	Table of Contents
SECTION 2.	FAA Form 8020-6, Report of Aircraft Accident, and FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet)
SECTION 3.	Certified Indexes and Normal Service Statements
SECTION 4.	FAA Form 7230-4, Daily Record of Facility Operation
SECTION 5.	Personnel Logs
SECTION 6.	FAA Form 7230-10, Position Logs
SECTION 7.	Facility Layout Chart
SECTION 8.	Airport Diagram
SECTION 9.	Flight Progress Strips, FAA Form 7230-8, Terminal Cut
SECTION 10.	Transcriptions of Voice Recordings
SECTION 11.	FAA Form 8020-3, Facility Accident/Incident Notification Record
SECTION 12.	Personnel Statements
SECTION 13.	Weather Products
SECTION 14.	Non-published NOTAM's
SECTION 15.	FAA Form 7233-2, Preflight Briefing Log
SECTION 16.	FAA Form 7233-1, Flight Plan
SECTION 17.	Other

This Page Intentionally Left Blank

05/12/03

8020.11B CHG 1
Appendix 2

ARV-ATCT-004
N1234A

Section 2.
FAA Form 8020-6, Report of Aircraft Accident,
and FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet)

d. FAA Form 8020-6, Report of Aircraft Accident.

The form consists of six copies and a cover sheet. The cover sheet should be used for the preparation of a draft report by the specialist or supervisor on duty at the time of the accident. The report shall be typewritten in clear language. Do not use symbols and/or abbreviations. The draft shall be destroyed at the time the typewritten FAA Form 8020-6 is signed. Since the carbon copies are often difficult to read, the facility may elect to photocopy the original typewritten page.

REPORT DATE. The date the report is written or rewritten. This might not be the date it was typed. The report number will be the accident report number as explained in paragraph 68. The name of the reporting facility is listed as done in the example. Facility name (three-letter identifier in parenthesis), then the facility type (ATCT, AFSS, etc.) Example: Airville (ARV) ATCT, Bridgeport (BDR) AFSS.

LOCATION OF ACCIDENT. (i.e., distance to nearest town or airport, distance from runway, location on airport, etc.; do not use latitude/longitude).

NATURE OF ACCIDENT. A brief statement of the nature of the accident shall be included if known. Examples: midair or taxiing collisions, landed with gear up, crashed on final approach. When the information is not known or can only be surmised, enter "unknown."

TYPE OF FLIGHT. State briefly the nature of flight and type of flight plan on which the aircraft was operating. Examples: local VFR, cross-country, no flight plan, and IFR flight plan.

FLIGHTCREW. Enter the name of each flight crewmember, his or her position (examples: pilot, flight engineer, flight attendant), address (city and State only), and extent of injury. Give extent of injuries as known at time of report preparation. Do not delay report for later information.

PASSENGER DATA. Include, if available, names, addresses (city and State only), extent of injuries. Do not include flightcrew information (see Item 6). Do not delay report for later information.

WEATHER DATA. Weather data must be written out in plain language. Numbers shall be spelled out. The first section shall identify what the actual conditions were at the scene of the accident. If conditions/reports are not available at the scene, identify and use the nearest reporting station. If available, use pilot reports. Section 2 shall state the last reported weather prior to the accident. Section 3 shall state the first report subsequent to the accident. Some type of weather report must be included in each section. The time in the larger boxes ("Conditions in Accident Area at Time of Accident," "Report Just Prior to Accident," and "First Report subsequent to Accident") shall be reported in local time. The date and time in the smaller boxes ("Date and Time") shall be UTC date and UTC time. The statement "weather not available" or "not applicable" shall not be used if the date, time, or location of the accident are known.

AIR TRAFFIC PERSONNEL INVOLVED. List the names of personnel involved (described in paragraph 75a) in chronological order beginning with the first facility having contact with the aircraft and then in order of involvement. Personnel at facilities providing normal service statements are not listed in this section. All personnel listed in this section shall also have a personnel statement in the accident package. Indicate the position of operation occupied by each person listed. List the facilities involved and if any of the persons listed were accident witnesses. If additional space is needed to list personnel, enter them in item 14, FAA Form 8020-6-1 (see Appendix 2). The operating initials for each controller shall be typed to the right of their name and enclosed in parenthesis. Type an asterisk to the left of the first set of operating initials and type a notation at the bottom of the name block (see Appendix 2).


SIGNATURE OF AIR TRAFFIC MANAGER. The AT manager or the acting AT manager shall sign this block.

05/12/03

8020.11B CHG 1

Appendix 2

RIS: AT 8020-6

 DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION REPORT OF AIRCRAFT ACCIDENT		REPORT DATE March 10, 2003		REPORT NO. ARV-ATCT-004		
		NAME OF REPORTING FACILITY Airville (ARV) ATCT				
1. AIRCRAFT TYPE AND IDENTIFICATION Beechcraft Bonanza (BE35), N1234A		2. DATE/TIME OF ACCIDENT (GMT) March 9, 2003, 1832 UTC		3. LOCATION OF ACCIDENT Airville Airport, AR., 1500 feet southwest from approach end of runway four		
4. NATURE OF ACCIDENT Crashed on final approach			5. TYPE OF FLIGHT Cross country - IFR Flight Plan			
6. FLIGHT CREW	NAME	POSITION	ADDRESS (CITY AND STATE)	UNINJURED	INJURED	FATALITY
	R. L. Smith	Pilot	Airville, AR		X	
7. PASSENGER DATA (If available, list names, addresses, extent of injuries and other information on continuation sheet.)			NUMBER ABOARD AIRCRAFT 3	NUMBER UNINJURED 1	NUMBER INJURED 2	NUMBER FATALITIES 0
8. AIRCRAFT DAMAGE Destroyed			9. PROPERTY DAMAGE Utility Power Pole			
10. OPERATING STATUS OF NAVIGATIONAL AIDS/LIGHTS/COMMUNICATIONS Normal						
11. WEATHER DATA	CONDITIONS IN ACCIDENT AREA AT TIME OF ACCIDENT Airville Special - 1220 CST: wind zero degrees at seven knots, visibility one statute mile, light snow, ceiling one thousand overcast, altimeter three zero zero seven					
	REPORT JUST PRIOR TO ACCIDENT Airville Special - 1220 CST: wind zero three zero degrees at seven knots, visibility one statute mile, light snow, ceiling one thousand overcast, altimeter three zero zero seven				DATE/TIME 03/09/03 1820 UTC	
	FIRST REPORT SUBSEQUENT TO ACCIDENT Airville Special - 1237 CST: wind zero three zero degrees at seven knots, visibility one statute mile, light snow, ceiling nine hundred broken, temperature one, dew point zero, altimeter three zero zero seven				DATE/TIME 03/09/03 1837 UTC	
12. ATS PERSONNEL INVOLVED	NAME	FACILITY	OPERATING POSITION	CHECK IF EYEWITNESS		
	Fred R. Folum	*(KO)	ARV ATCT	Approach Control		
	Archie Who	(WO)	ARV ATCT	Local Control		
	*Operating Initials					
13. SIGNATURE OF FACILITY CHIEF <i>E. Ketchok</i> E. Ketchok						

e. FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet).

A complete summary of the entire flight shall describe all pertinent communications, emergency assistance, and other AT services provided to the aircraft. Each facility having "worked" or having "contact" with the subject aircraft shall submit FAA Form 8020-6-1.

These forms shall be placed in Section 2 and in the chronological order of flight.

At the beginning of the chronology, type the UTC date of the aircraft accident, then two lines below the date center the statement "**ALL TIMES BELOW ARE COORDINATED UNIVERSAL TIME UNLESS OTHERWISE SPECIFIED.**"

Use the continuation sheets to list any information for which insufficient space is provided on the first page of the form. Items continued from page 1 shall be numbered, captioned, and marked "continued" to correspond with the continued item. Example: "8. Aircraft Damage, Continued."


This page does not have a signature block at the bottom.

At the end of the written report, type an underscore line completely across the page and directly under this type, "No more follows" (paragraph 74b(11)). Example:

No More Follows

05/12/03

8020.11B CHG 1
Appendix 2

 DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION REPORT OF AIRCRAFT ACCIDENT (Continuation Sheet)	REPORT DATE March 10, 2003	REPORT NO. ARV-ATCT-004
	NAME OF REPORTING FACILITY Flyway (FLY) FSS	

14. CHRONOLOGICAL SUMMARY OF FLIGHT

March 9, 2003

ALL TIMES BELOW ARE COORDINATED UNIVERSAL TIME
UNLESS OTHERWISE SPECIFIED

1610 The pilot of N1234A called the Flyway FSS by telephone, obtained a preflight pilot brief for an IFR flight from Flyway, OK, via V999 to Airville, AR, and filed an IFR flight plan.

1628 The pilot of N1234A called the Flyway FSS by radio requesting airport advisory service and IFR clearance was issued by the Fort Worth ARTCC, Flyway V999 Airville, maintain 7,000.

1630 N1234A departed Flyway airport and the pilot left Flyway FSS frequency to establish radio contact with Fort Worth ARTCC.


No More Follows

This Page Intentionally Left Blank

05/12/03

8020.11B CHG 1

Appendix 2

 DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION REPORT OF AIRCRAFT ACCIDENT (Continuation Sheet)	REPORT DATE March 10, 2003	REPORT NO. ARV-ATCT-004
	NAME OF REPORTING FACILITY Fort Worth ARTCC (ZFW)	

14. CHRONOLOGICAL SUMMARY OF FLIGHT

March 9, 2003

ALL TIMES BELOW ARE COORDINATED UNIVERSAL TIME
UNLESS OTHERWISE SPECIFIED

1628 The pilot of N1234A called the Flyway FSS by radio requesting airport advisory service and IFR clearance was issued by the Fort Worth ARTCC, Flyway V999 Airville, maintain 7,000.

1630 N1234A departed Flyway airport and the pilot established radio contact with Fort Worth ARTCC.

1631 N1234A climbed to 7,000 feet and proceeded to fly V999 level at 7,000 feet without incident or comment from the pilot.


1755 N1234A was handed off from Fort Worth ARTCC to the Memphis ARTCC.

No More Follows


This Page Intentionally Left Blank

05/12/03

8020.11B CHG 1
Appendix 2

 DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION REPORT OF AIRCRAFT ACCIDENT (Continuation Sheet)	REPORT DATE March 10, 2003	REPORT NO. ARV-ATCT-004
	NAME OF REPORTING FACILITY Memphis ARTCC (ZME)	
<p>14. CHRONOLOGICAL SUMMARY OF FLIGHT</p> <p>March 9, 2003</p> <p style="text-align: center;">ALL TIMES BELOW ARE COORDINATED UNIVERSAL TIME UNLESS OTHERWISE SPECIFIED</p> <p>1755 N1234A was handed off from Fort Worth ARTCC to the Memphis ARTCC.</p> <p>1756 N1234A proceeded to fly V999 level at 7,000 feet without incident or comment from the pilot.</p> <p>1820 N1234A was handed off from the Memphis ARTCC to the Airville Approach Control.</p> <hr/> <p style="text-align: center;">No More Follows</p>		

This Page Intentionally Left Blank

 DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION REPORT OF AIRCRAFT ACCIDENT (Continuation Sheet)	REPORT DATE March 10, 2003	REPORT NO. ARV-ATCT-004
	NAME OF REPORTING FACILITY Airville (ARV) ATCT	

14. CHRONOLOGICAL SUMMARY OF FLIGHT

March 9, 2003

ALL TIMES BELOW ARE COORDINATED UNIVERSAL TIME
UNLESS OTHERWISE SPECIFIED

1820 N1234A was handed off from the Memphis ARTCC to the Airville Approach Control and was vectored for an ILS approach. A clearance to descend to 3,000 was issued.

1821 N1234A reported leaving 7,000.

1827 N1234A was cleared for ILS approach to runway 4.

1829 N1234A reported over the outer marker. N1234A was then cleared to land and given the weather. N1234A acknowledged the information. No further communications were received.

1832 N1234A crashed 1,500 feet from the approach end of runway 4 after striking a utility power pole.

6. Flight Crew, Continued.
Pilot, minor injury

7. Passenger Data, Continued.
Mary Carmichael, Airville, AR., serious
John Jones, Airville, AR., broken leg, face lacerations
Betty Jones, Airville, AR., none

No More Follows

This Page Intentionally Left Blank

05/12/03

8020.11B CHG 1
Appendix 2

ARV-ATCT-004
N1234A

Section 3.
Certified Indexes and Normal Service Statements

f. Certified Indexes.

The certified index shall list each item that is retained in its original form in the facility files or package. This shall also include computer data and voice recordings and/or re-recordings being retained as a result of the accident. Certified indexes must be dated.

A certified index on plain bond paper listing each document being held by the facility to support a normal service statement (paragraph 69). Using the following format:

"I hereby certify that the following originals are on file in this office."

The facility manager (or the manager's designee) shall certify all copies of original records. This means the signature must match the underlying typed name; i.e., the assistant manager cannot sign for the air traffic manager. The signature shall be over his/her typed name, title, and name of facility as shown in the example (paragraph 72c(5)).

The certification may be accomplished by preparing a certified index listing each document or by certifying each document.

The statement: "I hereby certify that the following copies of records are true copies of originals which are on file in this office" is used when other than a normal service statement was provided by the facility.

05/12/03

8020.11B CHG 1
Appendix 2

ARV-ATCT-004
N1234A

CERTIFIED INDEX

March 10, 2003

I hereby certify that the following copies of records are true copies of originals which are on file in this office.

FAA Form 8020-9
FAA Form 8020-6
FAA Form 8020-6-1
FAA Form 7230-4
Personnel Logs
FAA Form 7230-10
FAA Form 7230-8
FAA Form 8020-3
Facility Layout Chart
Airport Diagram
Personnel Statements
Original Voice Recording(s)

Evan Ketchock
Evan Ketchock
Air Traffic Manager
Airville ATCT

g. Normal Service Statement(s).

Facilities that provided normal services to the subject aircraft and did not either: have control over the aircraft just prior to or at the time of the accident; and/or have pertinent transmissions, may, after coordination with the facility responsible for preparing the AT accident file (paragraph 67), submit a normal service statement.

A NORMAL SERVICE CERTIFICATION REQUIRES THREE SEPARATE DOCUMENTS.

1. Memorandum;
2. Certified Index; and
3. FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet)

Those facilities providing normal services must provide a memorandum (Order 1360.16, FAA Correspondence Manual) certified by the facility manager (or manager's designee) that:

"All services provided by (name of facility) were normal, and there were no pertinent transmissions."

NOTE: The memorandum that is sent to the responsible facility will have an ORIGINAL SIGNATURE on it. This is one of those rare occasions in which an original document will leave your facility regarding an aircraft accident. Remember to make a photocopy of the original memorandum for your accident file.

Personnel at facilities providing normal service certifications do not need to provide personnel statements to the responsible facility. Personnel statements from the air traffic control specialist(s) involved shall be prepared and kept in the facility's file.

05/12/03

8020.11B CHG 1
Appendix 2

ARV-ATCT-004
N1234A



U.S. Department
of Transportation
**Federal Aviation
Administration**

Memorandum

Subject: **INFORMATION:** Normal Service Statement;
Reference Aircraft Accident; N1234A;
Airville, AR; March 9, 2003

Date: March 11, 2003

From: Manager, Flyway FSS, FYY-1

Reply to
Attn. of:

To: Airville ATCT

All services provided by Flyway FSS were normal, and there were no pertinent transmissions.

Bobby R. Norris

Bobby R. Norris

2 Attachments
Certified Index
FAA Form 8020-6-1

This Page Intentionally Left Blank

05/12/03

8020.11B CHG 1
Appendix 2

ARV-ATCT-004
N1234A

CERTIFIED INDEX

March 10, 2003

I hereby certify that the following originals are on file in this office.

FAA Form 7230-4
FAA Form 7230-10
FAA Form 7233-1
FAA Form 7233-2
FAA Form 8020-6-1
Personnel Statements
Personnel Log
Original Voice Recording(s)
Certified Cassette Re-recording(s)

Bobby R. Norris

Bobby R. Norris
Air Traffic Manager
Flyway FSS

This Page Intentionally Left Blank

05/12/03

8020.11B CHG 1
Appendix 2

ARV-ATCT-004
N1234A



U.S. Department
of Transportation
**Federal Aviation
Administration**

Memorandum

Subject: **INFORMATION:** Normal Service Statement;
Reference Aircraft Accident; N1234A;
Airville, AR; March 9, 2003

Date: March 11, 2003

From: Manager, Fort Worth ARTCC, ZFW-1

Reply to
Attn. of:

To: Airville ATCT

All services provided by Fort Worth ARTCC were normal, and there were no pertinent transmissions.

Leonard Davis

Leonard Davis

2 Attachments
Certified Index
FAA Form 8020-6-1

This Page Intentionally Left Blank

05/12/03

8020.11B CHG 1
Appendix 2

ARV-ATCT-004
N1234A

CERTIFIED INDEX

March 10, 2003

I hereby certify that the following originals are on file in this office.

FAA Form 7230-4
FAA Form 7230-10
Personnel Logs
FAA Form 8020-6-1
Flight Progress Strips
Personnel Statements
Original Voice Recording(s)
Certified Cassette Re-recording(s)

Leonard Davis

Leonard Davis
Air Traffic Manager
Fort Worth ARTCC

This Page Intentionally Left Blank

05/12/03

8020.11B CHG 1
Appendix 2

ARV-ATCT-004
N1234A



U.S. Department
of Transportation
**Federal Aviation
Administration**

Memorandum

Subject: INFORMATION: Normal Service Statement;
Reference Aircraft Accident; N1234A;
Airville, AR; March 9, 2003

Date: March 11, 2003

From: Manager, Memphis ARTCC, ZME-1

Reply to
Attn. of:

To: Airville ATCT

All services provided by Memphis ARTCC were normal, and there were no pertinent transmissions.

Carole J. Biggio

Carole J. Biggio

2 Attachments
Certified Index
FAA Form 8020-6-1

This Page Intentionally Left Blank

05/12/03

8020.11B CHG 1
Appendix 2

ARV-ATCT-004
N1234A

CERTIFIED INDEX

March 10, 2003

I hereby certify that the following originals are on file in this office.

FAA Form 7230-4
FAA Form 7230-10
FAA Form 8020-6-1
Flight Progress Strips
Personnel Logs
Personnel Statements
Original Voice Recording(s)
Certified Cassette Re-recording(s)

Carole J. Biggio

Carole J. Biggio
Air Traffic Manager
Memphis ARTCC

This Page Intentionally Left Blank

05/12/03

8020.11B CHG 1
Appendix 2

ARV-ATCT-004
N1234A

Section 4.
FAA Form 7230-4, Daily Record of Facility Operation

h. FAA Form 7230-4, Daily Record of Facility Operation.

Include a copy of FAA Form 7230-4, Daily Record of Facility Operation. Ensure that all required information is filled in correctly as described in Order 7210.3, paragraph 4-6-4. The facility manager or designee shall initial the form in the space provided. Do not correct any mistakes on the form.

If there are any equipment outages listed that may relate to the accident, be sure they are included on FAA Form 8020-6, Item 10.

The aircraft accident shall be annotated in the remarks section by the facility receiving initial notification of an accident.

Facilities shall compare the accuracy of the automated radar terminal system (ARTS) clock with its time source and also compare the voice recorder equipment clock with the ARTS clock. The results of these findings shall be noted on FAA Form 7230-4, Daily Record of Facility Operation.

05/12/03

8020.11B CHG 1

Appendix 2

ARV-ATCT-004 N1234A				PAGE NO 1
DAILY RECORD OF FACILITY OPERATION				DATE 03/09/03
				CHECKED BY TR
LOCATION Airville, Arkansas	IDENTIFICATION ARV	TYPE FACILITY ATCT	OPERATING POSITION Area Manager	CHIEF EX
TIME (GMT)	REMARKS			
0600	CS on. Previous 7230-4 data noted. WCLC.			
0710	Frequency 124.1 weak, both receivers.			
1400	IW on.			
1415	WCLC.			
1645	Line GS-471 inop. Telco. adzd.			
1659	Line GS-471 ok.			
1832	Aircraft accident N1234A Beechcraft Bonanza.			
1833	ARTS clock checked. Voice recorder checked. ARTS clock found to be 2 seconds slower than voice recorder			
2200	TR on.			
2240	WCLC.			
2258	LOC ok.			
0106	DF net check - all ok.			
0559	COB.			
I CERTIFY that entries above are correct, that all scheduled operations have been accomplished except as noted, and that all abnormal occurrences and conditions have been recorded.		SIGNATURE OF WATCH SUPERVISOR(S) Chris Soucy John Beeler Ivon S. Way		

FAA Form 7230-4 (4-82) Supersedes previous edition

This Page Intentionally Left Blank

05/12/03

8020.11B CHG 1
Appendix 2

ARV-ATCT-004
N1234A

Section 5. Personnel Logs

i. Personnel Logs.

Include the facilities sign in/out personnel logs or the automated equivalent.

05/12/03

8020.11B CHG 1

Appendix 2

ARV-ATCT-004

N1234A

PERSONNEL LOG	1 REGION			2 IDENT			3 FACILITY NAME								4 DATE		
	A	S	W	A	R	V	A	R	V		A	T	C	T	03	09	03
5 NAME			6 CODE	7 INITIALS	8 TIME ON	9 TIME OFF	10 HRS + MIN ON DUTY	11 HRS + MIN LEAVE	12 HRS + MIN NON POS DUTIES	13 REMARKS				14 REMARKS			
Chris Soucy Chris Soucy			S	CS	0600	1400	08+00			DESK				Lunch			
Ivon Way Ivon S. Way			S	IW	1400	2200	08+00		03+50	DESK				Lunch			
Fred Woods S. Fred Woods			S	SW	0748	1600	08+20		02+20	DESK				Lunch			
John Beeler John Beeler			S	TR	2200	0600	08+00		01+50	DESK				Lunch			
Mary Adams Mary Adams			C	MA	2250	0700	08+10		00+50	ALL				Lunch			
Heather Biblow Heather J. Biblow			C	HB	1600	0000	08+00		00+50	GC				Lunch			
Mary Bradley Mary Bradley			C	MB	1600	0000	08+00		01+60	GC				Lunch			
Sharisse Crawley Sharisse Crawley			C	SC	0750	1500	08+10		00+50	LC				Lunch			
M. Durham Mike Durham			C	MD	1300	2100	08+00		00+60	DEPT				Lunch			
Fred Folum Fred R. Folum			C	KO	1345	2200	08+20		00+50	ARR				Lunch			
Don Gray Don Gray			C	DC	0750	1600	08+10		00+50	DEPT				Lunch			
Tony Mello Tony Mello			C	TM	0750	1550	08+00		00+50	ARR				Lunch			
Stephanie Myers Stephanie R. Myers			C	IN	1000	1600	06+00	02+00	02+30	ALL				Lunch			
Brenda Pitts Brenda Pitts			C	BP				08+00									
Joe Terry Joe Terry			C	DF	1545	0000	08+20		01+10	CD				Lunch			
Gina Vicic Gina Vicic			C	RV	0700	1500	08+00		00+50	DEPT				Lunch			
D. B. Widdowfield Donald B. Widdow- field			C	DW	1200	1600	04+00	04+00		ALL				Lunch			
Archie Who Archie Who			C	WO	1245	2200	08+00		00+50	LC				Lunch			

ARV ATCT Form 7230-4

This Page Intentionally Left Blank

05/12/03

8020.11B CHG 1
Appendix 2

ARV-ATCT-004
N1234A

Section 6.
FAA Form 7230-10, Position Logs

j. FAA Form 7230-10, Position Logs (*or automated equivalent*).

Include only pertinent forms.

Attach to plain bond paper to reproduce.

Arrange forms in the order of participation.

Be sure that the facility name and date are filled in at the top of the form.

If an automated form is used, a current and valid copy of the waiver must be on file at the facility.

05/12/03

8020.11B CHG 1

Appendix 2

ARV-ATCT-004
N1234A

POSITION LOG															
1 FACILITY ID			2 POSITION IDENTIFIER				3 POS TYPE		4 DATE						
A	R	V					L	C	0	3	0	9	0	3	
5 TIME ON			6 INITIALS		7 TIME OFF			8 CODE	9 WHERE COMBINED POSITION IDENTIFIER					10 POSITION TYPE	
0	6	0	0	M	A	1	3	5	5	C					
1	3	5	6	S	C	1	6	0	5	C					
1	6	0	6	I	N	1	8	0	1	C					
1	8	0	2	W	O	1	8	4	0	C					
1	8	4	1	S	C	2	0	5	0	C					
2	0	5	1	D	W	2	2	0	0	C					
2	2	0	1	W	O	0	1	1	6	C					
0	1	1	7	D	W	0	2	2	2	C					
0	2	2	3	I	W	0	4	0	9	C					
0	4	1	0	G	S	0	4	5	9	C					
0	5	5	0	D	B	0	5	5	9	C					
CODE			C = ATCS or FDS is responsible for position S = Supervisor, staff specialist, manager is responsible for position T = Person signed on is receiving OJT												

FAA Form 7230-10 (8-83)

Page 1

This Page Intentionally Left Blank

05/12/03

8020.11B CHG 1

Appendix 2

ARV-ATCT-004
N1234A

POSITION LOG															
1 FACILITY ID			2 POSITION IDENTIFIER				3 POS TYPE		4 DATE						
A	R	V					A	C	0	3	0	9	0	3	
5 TIME ON			6 INITIALS		7 TIME OFF		8 CODE		9 WHERE COMBINED POSITION IDENTIFIER					10 POSITION TYPE	
0	6	0	0			1	3	5	5	C			L	C	
1	3	5	6	K	O	1	5	3	0	C					
1	5	3	1	M	D	1	7	3	9	C					
1	7	4	0	K	O	1	8	4	0	C					
1	8	4	1	D	F	2	0	0	1	C					
2	0	0	2	K	O	2	1	4	5	C					
2	1	4	6	H	B	2	3	3	3	C					
2	3	3	4	M	B	0	0	0	0	C					
0	0	0	1	T	R	0	1	5	5	C					
0	1	5	6	M	B	0	5	5	9	C					
CODE			C = ATCS or FDS is responsible for position S = Supervisor, staff specialist, manager is responsible for position T = Person signed on is receiving OJT												

FAA Form 7230-10 (8-83)

Page 1

This Page Intentionally Left Blank

05/12/03

8020.11B CHG 1
Appendix 2

ARV-ATCT-004
N1234A

Section 7.
Facility Layout Chart

k. Facility Layout Chart.

Mandatory for ATCT's, TRACON's, and ARTCC's. Include a facility layout chart in the accident package. Examples of situations in which a facility layout chart may be warranted:

The placement of equipment in the control area affects a certain operation involved in the accident.

An obstruction to vision in the control area was a factor in the accident.

If you are unsure about the requirement to include a facility layout chart, contact your regional specialist.

05/12/03

8020.11B CHG 1
Appendix 2

ARV-ATCT-004
N1234A

INSERT
FACILITY LAYOUT
CHART HERE

This Page Intentionally Left Blank

05/12/03

8020.11B CHG 1
Appendix 2

ARV-ATCT-004
N1234A

Section 8.
Airport Diagram

I. Airport Diagram.

An airport diagram is for airport surface accidents only (paragraph 72c(8)).

The airport diagram shall include the name of the airport.

If the diagram is not to scale, include the statement: "This diagram is not to scale."

05/12/03

8020.11B CHG 1
Appendix 2

ARV-ATCT-004
N1234A

INSERT
AIRPORT DIAGRAM
HERE

This Page Intentionally Left Blank

05/12/03

8020.11B CHG 1
Appendix 2

ARV-ATCT-004
N1234A

Section 9.
Flight Progress Strips, FAA Form 7230-8, Terminal Cut

m. Flight Progress Strips (*state form numbers and names of each*) and/or In-flight Contact Record.

Attach flight progress strips to plain bond paper for reproducing (paragraph 72c(9)).

Arrange pages in chronological order beginning with the first facility having contact with the aircraft and then in order of involvement.

If an In-flight Contact Record was used, ensure that the facility name and date are completed at the top of the form.

List the forms attached, by name and number, as described below, in the index.

FAA Forms 7230-7.1, Terminal-Continuous With Center Perforation; 7230-7.2, Terminal Continuous Without Center Perforation; 7230-8, Terminal-Cut; 7230-19, ARTCC (Marginally Punched Continuous Strip); 7230-21, FSS; and 7233-5, In-flight Contact Record.

05/12/03

8020.11B CHG 1
Appendix 2

ARV-ATCT-004
N1234A

N1234A BE35		1825	BO ARV	<div>R</div>		
	HZ					

FAA FORM 7230-8(5-88)

This Page Intentionally Left Blank

05/12/03

8020.11B CHG 1
Appendix 2

ARV-ATCT-004
N1234A

Section 10.
Transcriptions of Voice Recordings

n. Transcriptions of Voice Recordings.

Transcripts should be inserted in chronological order beginning with the first facility having contact with the aircraft and then in order of involvement. The first page of the transcription shall be on FAA memorandum (Order 1360.16) and be prepared as follows:

Subject line should read:

INFORMATION: (Full/Partial) Transcript
Aircraft Accident; (aircraft identification)
(accident location, city, state); (UTC date)

Date line shall have the date the transcription was certified and signed.

From line shall have the name of the facility preparing the transcription, not the manager's name and title.

To line shall state: "Aircraft Accident File (file/report number)."

For the first line of the body of the memorandum type: "This transcription covers the (facility) (operational position) position for the time period from (UTC date and UTC time) to (UTC date and UTC time)."

List the facilities, aircraft, and position(s) making transmissions and the standard abbreviation for each. Facilities shall be abbreviated by using their three-character identifier followed by the appropriate abbreviation (ATCT, AFSS, etc.). Air carriers shall be indicated by the company designator and the flight number. Agencies making calls are listed in order of involvement. When the source of a call is unknown, use "Unknown" in the body of the transcript and include "Unknown" as an agency in the list. Certification by the person making the transcription (not the AT manager unless he or she prepared the transcription) is shown on the sample.

The transcription shall be single-spaced. Each contact shall be separated by triple spacing. If a cardinal minute is indicated between contacts it shall represent one of the triple spaces, and one blank line shall be added (either prior to or after the cardinal minute) to meet the triple spacing requirement. If two or more cardinal minutes are indicated, the triple spacing requirement is met and no blank lines are required. If breaks occur during any contact, indicate by three dashes. A transmission beginning with or extending through a cardinal minute in which case the next cardinal minute shall be indicated (paragraph 77d(3)(b)). An example of when NOT to place the cardinal minute is the 1820:58 transmission in the first example transcript.

If four or more cardinal minutes have passed without any transmissions, a grouping of the times is permitted (optional). However, if used they shall be indicated as follows: The minutes being grouped shall be in parentheses and separated by a single dash. Example (1708-1720). The grouped minutes shall have a single cardinal minute on the line immediately above and below the grouped minutes.

Transcriptions shall be lower case and verbatim. Abbreviations and extensive punctuation shall not be used. For spoken numbers, spell the numbers out exactly as spoken. If recording is unintelligible, insert "unintelligible" in parentheses in the proper location. When an interpretation of a garbled word or portion of a word is required, the interpretation shall be enclosed by parentheses and preceded by an asterisk. An asterisked footnote following the transcription shall read:

"This portion of the re-recording is not entirely clear, but this represents the best interpretation possible under the circumstances."

Center at the end of the transcript, "End of Transcript."

Additional pages should have the accident number and aircraft call sign or registration number in the upper left corner with page (#) of (#) two lines below that.

ARV-ATCT-004
N1234AU.S. Department
of Transportation
**Federal Aviation
Administration**

Memorandum

DATE TRANSCRIPTION
WAS SIGNED

Subject: **INFORMATION**: Partial Transcript;
Aircraft Accident; N1234A; Airville, AR;
March 9, 2003

Date: March 11, 2003

From: Airville ATCT

Reply to
Attn. of:

To: Aircraft Accident File ARV-ATCT-004

This transcription covers the Airville ATCT Approach Control position for the time period from March 9, 2003, 1815 UTC, to March 9, 2003, 1835 UTC.

Agencies Making TransmissionsAbbreviationsBeechcraft Bonanza N1234A
Airville Approach Control, Arrival
Airville ATCT, Local ControlN1234A
A/C
LC

I hereby certify that the following is a true transcription of the recorded conversations pertaining to the subject aircraft accident involving N1234A:

Archie Who
Archie Who
Support Specialist
Airville ATCTPERSON MAKING
TRANSCRIPTION1815
(1816-1819)

1820

1820:58 N1234A approach control november one two three four alpha level at
seven thousand feet requesting lower

This Page Intentionally Left Blank

ARV-ATCT-004
N1234A

Page 2 of 3

NOTICE THE AIRCRAFT ACCIDENT NUMBER,
AIRCRAFT CALL SIGN OR REGISTRATION
NUMBER, AND PAGE # OF PAGE #.

1821:10 A/C november one two three four alpha airville approach control airville
altimeter three zero zero seven standby for lower expect i l s runway
four

1821:16 N1234A november one two three four alpha roger

1821:21 A/C november three four alpha fly heading zero two zero join i l s runway
four descend and maintain three thousand

1821:34 N1234A november one two three four alpha roger i'm out of seven thousand
1822
(1823-1824)
1825
1825:10 A/C local

1825:15 LC go ahead

1825:20 A/C inbound november one two three four alpha is a beechcraft bonanza for an
i l s approach will be over the outer marker about one eight three zero kilo
oscar

1825:35 LC whiskey oscar
1826
1827
1827:33 A/C november three four alpha cleared for i l s approach runway four

1827:41 N1234A november one two three four alpha roger
1828
1829
1829:15 A/C november one two three four alpha contact tower on one one eight
point niner five

This Page Intentionally Left Blank

05/12/03

8020.11B CHG 1
Appendix 2

ARV-ATCT-004
N1234A

Page 3 of 3

1829:26 N1234A november one two three four alpha roger one one eight point niner five
1830
(1831-1834)
1835

End of Transcript

This Page Intentionally Left Blank

05/12/03

8020.11B CHG 1

Appendix 2

ARV-ATCT-004
N1234A



U.S. Department
of Transportation
**Federal Aviation
Administration**

Memorandum

Subject: **INFORMATION**: Partial Transcript;
Aircraft Accident; N1234A; Airville, AR;
March 9, 2003

Date: March 11, 2003

From: Airville ATCT

Reply to
Attn. of:

To: Aircraft Accident File ARV-ATCT-004

This transcription covers the Airville ATCT Local Control position for the time period from March 9, 2003, 1820 UTC, to March 9, 2003, 1838 UTC.

Agencies Making Transmissions

Abbreviations

Airville Approach Control, Arrival
Airville ATCT, Local Control
Beechcraft Bonanza N1234A

A/C
LC
N1234A

I hereby certify that the following is a true transcription of the recorded conversations pertaining to the subject aircraft accident involving N1234A:

Archie Who

Achie Who
Support Specialist
Airville ATCT

1820
(1821-1824)
1825

This Page Intentionally Left Blank

05/12/03

8020.11B CHG 1

Appendix 2

ARV-ATCT-004
N1234A

Page 2 of 2

1825:10 A/C local

1825:15 LC go ahead

1825:20 A/C inbound november one two three four alpha is a beechcraft bonanza
for an i l s approach will be over the outer marker about one eight three
zero kilo oscar

1825:35 LC whiskey oscar

1826

(1827-1828)

1829

1829:40 N1234A (unintelligible) tower this is bonanza one two three four over the outer
marker *(now)

1829:46 LC bonanza one two three four alpha airville tower roger cleared to land
airville weather measured ceiling one thousand overcast visibility one
light snow showers wind zero three at seven altimeter three zero zero
seven

1829:57 N1234A roger

1830

1831

1832

1832:10 LC bonanza one two three four alpha airville

1833

(1834-1837)

1838

End of Transcript

*This portion of the re-recording is not entirely clear, but this represents the best interpretation possible under the circumstances.

This Page Intentionally Left Blank

05/12/03

8020.11B CHG 1
Appendix 2

ARV-ATCT-004
N1234A

Section 11.
FAA Form 8020-3, Facility Accident/Incident Notification Record

o. FAA Form 8020-3, Facility Accident/Incident Notification Record.

The aircraft call sign and the date of the accident must be completed in the upper right hand corner. Be sure the facility name is indicated on the form.

Include attached telephone number listings, if any. If more than one FAA Form 8020-3 was used at the time of the accident, include all copies in the package.

Unless requested by AAT-20, the regional AT divisions, or the FAA IIC, all home, cellular, and pager telephone numbers of FAA, airport, military, and emergency personnel/offices shall be obliterated or sanitized from all copies of FAA Form 8020-3. Only the original AT accident file and package and originating AT facility, if different from the facility assembling the file and package, will retain these numbers on the original document.

05/12/03

8020.11B CHG 1

Appendix 2

ARV-ATCT-004			Aircraft Identification N1234A	
FACILITY ACCIDENT/INCIDENT NOTIFICATION RECORD			Date 03/09/03	
			Airport Airville	
The order and number of calls will be determined by the situation involved.				
	Phone No.	Time	Initials	
			Caller	Recipient
Airport Emergency Equipment	555-1212	1832	WO	DE
Additional Emergency Equipment				
Search and Rescue				
*Washington Operations Center (WOC)	(202) 555-1333	1835	IW	BC
Region Operations Center (ROC)	(817) 555-1919	1835	IW	TM
Air Traffic Manager	555-2345	1832	WO	IV
Flight Standards District Office (FSDO)	Cell 555-9999	1847	IW	KD
Air Traffic Investigations Division (AAT-200)				
National Transportation Safety Board (NTSB)				
System Maintenance Organization Manager	555-8309	1838	IW	JL
Law Enforcement	555-1321	1834	IW	IN
National Weather Service (NWS)	(817) 555-2501	1838	WO	RV
Military Authority	555-6677			
Airport Authority	555-9343	1838	IW	HO
Aircraft Operator				
Form Updated by (Name, Title, Facility): Archie Who			Date: 03/01/03	
*Accidents requiring telephone notification to Washington shall be made immediately following notification for emergency equipment and/or search and rescue.				

FAA Form 8020-3 (Revised 03/2002)

This Page Intentionally Left Blank

05/12/03

8020.11B CHG 1
Appendix 2

ARV-ATCT-004
N1234A

Section 12.
Personnel Statements

p. Personnel Statements.

Statements shall be hand written on plain bond paper in the format shown on sample pages.

The date on the statement shall be the date the written original was actually signed.

Each statement shall include the person's:

Name

The operating initials (in parenthesis immediately following the name)

Occupation

Location of employment

Statements shall be printed in clear language and avoid the use of all but well-known acronyms. While preparing the personnel statement, if it becomes necessary to make a correction (due to a misspelled word or other editorial change), the person preparing the statement shall place a single line through the error and initial (actual initials, not operating initials), and date the change to the text. Editorial changes made after the personnel statement has been signed shall be treated as described above. However, any substantial changes or changes that may alter the meaning and/or context shall be treated as an amended personnel statement and attached to the original document. Amended statements are prepared as described throughout paragraph 75 and shall be clearly marked "Amended Personnel Statement." Also, write out location identifiers before using the three letter identifiers. Direct quotations should be used sparingly. When used, be sure to verify the statement with the tape to preclude confliction. The order provides that the statement shall include only facts and be devoid of opinion, conclusion, or other extraneous information.

The statement shall include the operational equipment configuration. The use of checklists, drawings, or narrative formats for documenting equipment configuration is acceptable. If an attachment is used, the word "Attachment" shall be placed two lines under the signature block.

Statements that do not contain equipment criteria should have a single sentence stating such. This will allow for the reader to understand that the omission was not an oversight. The reader of the Personnel Statement should be able to determine why the equipment configuration has not been included with the Personnel Statement. Sentences such as "Equipment configuration is not included" do nothing to assist the reader.

Verify the time on and off position and the time on and off duty in the statement with position logs, personnel logs, and transcriptions. The times must match.

Place the statements in the package in chronological order beginning with the first facility having contact with the aircraft and then in order of involvement.

Facilities providing normal service statements do not need to forward personnel statements to the facility responsible for final data collection; however, they do need to have the personnel statement in the facility's file.

05/12/03

8020.11B CHG 1

Appendix 2

ARV-ATCT-004
N1234A

SAMPLE PERSONNEL
STATEMENT BY THE
ARRIVAL CONTROLLER

PERSONNEL STATEMENT
FEDERAL AVIATION ADMINISTRATION
AIRVILLE AIRPORT TRAFFIC CONTROL TOWER

ACTION: Complete in accordance with FAA Order 8020.11, paragraph 75, Personnel Statements.

BACKGROUND: Much of the information concerning the circumstances surrounding this accident/incident can be retrieved via some type of recorded data source. However, some of the facts concerning what you saw and what you did may not have been completely captured. The purpose of this statement is to provide any facts within your personal knowledge that you believe will provide a more complete understanding of the circumstances surrounding this accident/incident. Therefore, speculations, hearsay, opinions, conclusions, and/or other extraneous data are not to be included in this statement. Additionally, this statement may be released to the public through FOIA or litigation activities including pretrial discovery, depositions, and actual court testimony.

INSTRUCTIONS: This statement is to be printed and signed by you, and your signature below certifies the accuracy of this statement. It will neither be edited nor typed and, once signed, will constitute your original statement.

This statement concerns the accident involving N1234A at Airville, AR, at March 9, 2003 1832 UTC. My name is Fred R. Folum (KO). I am employed as an air traffic control specialist by the FAA at the Airville Airport Traffic Control Tower, Airville, Arkansas. I was working the Approach Control position from 1740 UTC to 1840 UTC.

Text of statement:

I received a hand off on N1234A from the Memphis ARTCC. I issued the pilot of N1234A a descent clearance to 3,000 feet and vectored the aircraft for an ILS approach to runway 4. I cleared the pilot of N1234A for an ILS approach to runway 4, then gave the pilot instructions to contact the local controller. I do not remember what the various settings of the operational equipment were at the time of the accident.

I certify, to the best of my knowledge and recollection, the above statement is correct.

Fred R. Folum

Signature

March 16, 2003

Date

This Page Intentionally Left Blank

05/12/03

8020.11B CHG 1
Appendix 2

ARV-ATCT-004
N1234A

PERSONNEL STATEMENT
FEDERAL AVIATION ADMINISTRATION
AIRVILLE AIRPORT TRAFFIC CONTROL TOWER

SAMPLE PERSONNEL
STATEMENT BY THE
LOCAL CONTROLLER

ACTION: Complete in accordance with FAA Order 8020.11, paragraph 75, Personnel Statements.

BACKGROUND: Much of the information concerning the circumstances surrounding this accident/incident can be retrieved via some type of recorded data source. However, some of the facts concerning what you saw and what you did may not have been completely captured. The purpose of this statement is to provide any facts within your personal knowledge that you believe will provide a more complete understanding of the circumstances surrounding this accident/incident. Therefore, speculations, hearsay, opinions, conclusions, and/or other extraneous data are not to be included in this statement. Additionally, this statement may be released to the public through FOIA or litigation activities including pretrial discovery, depositions, and actual court testimony.

INSTRUCTIONS: This statement is to be **printed and signed by you**, and your signature below certifies the accuracy of this statement. It will neither be edited nor typed and, once signed, will constitute your original statement.

This statement concerns the accident involving N1234A at Airville, AR, at March 9, 2003, 1832 UTC. My name is Archie Who (WO). I am employed as an air traffic control specialist by the FAA at the Airville Airport Traffic Control Tower, Airville, Arkansas. I was working the Local Control position from 1802 UTC to 1840 UTC.

Text of statement:

Radar approach control coordinated with me on the arrival of N1234A. I was given the information that N1234A was a Beechcraft Bonanza and would be on an ILS approach and that the aircraft would be over the outer marker at about 1830 UTC. At 1829 UTC, N1234A called me over the outer marker, and I issued the 1220 CST special weather and cleared N1234A to land. I was looking toward the final approach course when I saw a bright flash, and I could then see the aircraft hit the ground. I saw flames appear where the aircraft hit. I alerted the emergency equipment and notified the area manager. I also notified the weather service and facility manager.

To the best of my knowledge the operational equipment configuration at the time of the accident/incident was as indicated on the attached diagram.

I certify, to the best of my knowledge and recollection, the above statement is correct.

Archie Who

Signature

March 16, 2003

Date

Attachment

This Page Intentionally Left Blank

05/12/03

8020.11B CHG 1
Appendix 2

ARV-ATCT-004
N1234A

INDIVIDUAL DISPLAY/SYSTEM STATUS CHECKLIST

INDIVIDUAL DISPLAY:

Position: Local Control

Date: 03/09/03

Time: 1832 UTC

	<u>Circle One</u>		<u>Setting</u>
MTI/Normal Gate	<u>ON</u>	OFF	_____
Background Video Gain	<u>ON</u>	<u>OFF</u>	_____
Beacon Video Gain	<u>ON</u>	<u>OFF</u>	_____
MTI/Normal Video Gain	<u>ON</u>	OFF	_____
Range Marks	<u>ON</u>	OFF	_____
Sweep Decenter	<u>ON</u>	OFF	_____
Sweep Range	<u>Distance 40</u>	OFF	Offset Point: <u>10W</u>

DISPLAY VIDEO CONTROL PANEL:

Discrete/Sum Button:	<u>DIS</u>	<u>SUM</u>	
MAP/COR/COR-UNCOR Buttons:	<u>MAP</u>	<u>COR</u>	COR/UNCOR
WX Levels Available:	<u>0</u>		
WX Levels Selected:	<u>2-4</u>		

SYSTEM CONTROL PANEL:

DSP/RX/TX Channel	<u>A</u>	B
POLARIZATION	<u>AUTO</u>	MANUAL
SCIP Switch	<u>A</u>	B
RADAR SOURCE CONTROL	<u>AUTO</u>	MANUAL
WEATHER CONTROL	<u>2-Level</u>	<u>6-Level</u>

Date: 03/09/03

Time: 1845 UTC

ARV FORM 7210-1

Completed by: Archie Who

This Page Intentionally Left Blank

05/12/03

8020.11B CHG 1
Appendix 2

ARV-ATCT-004
N1234A

Section 13.
Weather Products

q. Weather Products.

There are several potential means of obtaining the information required for this section. You may require information from one or more sources depending on the circumstances.

Weather that was pertinent and available to the controller (regardless if issued to the flightcrew) and the source of the weather. This includes but is not limited to PIREP's, SIGMET's, AIRMET's, and weather-related NOTAM's.

AIS, Model 1 AWP Event Reconstruction (EVR), or copies of weather observation forms. Observation forms must be individually certified by the Air Traffic facility responsible for initiating the record.

The AT certification shall read:

"I certify that this is a true copy of the original which was used by the controller."

The certification for Air Traffic facilities taking weather observations shall read:

"I certify that this is a true copy of the original which has been forwarded to the National Weather Service Records Center."

En route facilities shall obtain pertinent weather information from the center weather service unit. Data must be certified by Air Traffic. Air Traffic facilities that take weather observations shall certify the observation form for inclusion in the Air Traffic accident package. Air Traffic facilities that do not take weather observations shall contact the associated AFSS and request weather information needed. The AFSS will coordinate with the FSDPS to obtain the weather information. The AFSS will provide a certified copy of the weather to the requesting facility.

Include the facility name and date on each page.

05/12/03

8020.11B CHG 1
Appendix 2

ARV-ATCT-004
N1234A

FLYWAY FSS 02/09/95

METAR KFYV 191555Z 32010KT 7SM OVC020 03/M01 A2995 RMK SLP142 VIS SE15

METAR KOKC 191555Z 31010KT 4SM -SHSN BR SCT000 BKN007 02/00 A2996 RMK
SLP145 SCT000 -SHSN BR

METAR KMLC 191555Z 35008KT 3/4SM -SHSN VV004 01/M02 A2997 RMK SLP148

METAR KARV 191555Z 34008KT 3SM -SHSN BKN012 01/M02 A2996

SPECI KARV 191620Z 03007KT 1SM -SN OVC010 A3007

SPECI KARV 191637Z 03007KT 1SM -SN BKN009 01/00 A3007

ARV 091010 C5 BKN 2SW -CHC C2X 1/2SW. 14Z C15 BKN 80 OVC OCNL
C8 OVC 1SW-. 20Z C35 BKN CHC SW-. 04Z VFR.

I certify that this is a true copy of the original which has been forwarded to the National Weather
Service Records Center.

Bobby R. Norris

Bobby R. Norris
Air Traffic Manager
Flyway FSS

NOTE: These items have not been included in this sample. However, if appropriate, include the data or information as outlined in paragraph 72c and place in the appropriate "section" in the accident package.

Section 14.
Non-published NOTAM's

r. Non-published NOTAM's.

Include all non-published applicable NOTAM's.

Section 15.
FAA Form 7233-2, Preflight Briefing Log

s. FAA Form 7233-2, Preflight Briefing Log (*or automated equivalent*).

Include only information given to the pilot during the briefing. If pertinent flight route information was omitted, retain that information in the facility accident file.

Section 16.
FAA Form 7233-1, Flight Plan

t. FAA Form 7233-1, Flight Plan (*or automated equivalent*).

If included, type the facility name and date on each page.

If included, enter the name of the facility that accepted the FAA Form 7233-1 at the top of the page.

Ensure that the date the flight plan was filed is entered.

If utilizing a copy of a stored flight plan, include the facility name and date on the page.

Section 17.
Other.

u. Other.

Include in this section any pertinent data, in any form, that may be deemed pertinent.

PART 2. INCIDENT FORMS

a. FAA Form 8020-21, Preliminary Near Midair Collision Report

PRELIMINARY NEAR MIDAIR COLLISION REPORT		Incident Report Number					
		N	N M	T	A P A	9 5	0 0 1
Complete and distribute according to instructions on page 3. Complete all items. "Rptg" refers to the aircraft that reports the near midair collision (NMAC) first; "Other" refers to the other aircraft. Complete the form by hand or typewriter.							
1. Date, Time, and Location of NMAC: Date (Coordinated Universal Time-UTC) A. <u>0 1 1 7 9 8 </u> M M D D Y Y UTC Time Local Time B. <u>0 1 3 6 </u> C. <u>1 8 3 6 </u> D. Nearest City or Town and State <u>Englewood, CO</u>		2. Fix or Facility Nearest NMAC (complete one): A. <u> </u> VOR, TACAN, OR NDB ID B. <u>A P A </u> Airport ID C. <u> </u> Airway Intersection ID D. <input type="checkbox"/> Oceanic airspace or Area Navigation (GPS, Loran, etc.)		3. NMAC Location in Respect to Item 2 (complete A & B or C & D): A. <u>0 0 1 </u> Miles (nautical) B. <u>2 3 0 </u> Degrees (magnetic) For Oceanic Airspace or Area Navigation Only C. <u> </u> ° <u> </u> ' Latitude D. <u> </u> ° <u> </u> ' Longitude			
4. Reporting Aircraft ("Rptg") Information: A. Pilot Name and Address <u>Jane Doe</u> Name (first, middle, last) <u>123 Main Street</u> Address <u>Denver</u> <u>CO</u> <u>80000</u> City State ZIP B. Pilot Home Base <u>APA</u> C. Pilot Daytime Telephone No. <u>3 0 3 </u> - <u>2 2 2 </u> - <u>2 2 2 2 </u> D. Pilot Certificate No. (or enter "MILITARY") <u>5 5 8 6 0 3 5 6 </u> E. Aircraft Registration (N) No. <u>N 9 1 6 2 T </u> F. Flight No. or Call Sign (if applicable) _____ G. Aircraft Make <u>Cessna</u> H. Aircraft Model <u>172</u>				5. Other Aircraft ("Other") Information (complete or mark box): <input type="checkbox"/> All Information Unknown A. Pilot Name and Address <u>John Doe</u> Name (first, middle, last) <u>456 Main Street</u> Address <u>Denver</u> <u>CO</u> <u>80000</u> City State ZIP B. Pilot Home Base <u>APA</u> C. Pilot Daytime Telephone No. <u>3 0 3 </u> - <u>2 6 8 </u> - <u>7 8 7 5 </u> D. Pilot Certificate No. (or enter "MILITARY") <u>5 2 2 0 4 7 3 6 6 </u> E. Aircraft Registration (N) No. <u>N 3 6 0 D A </u> F. Flight No. or Call Sign (if applicable) _____ G. Aircraft Make <u>Citation</u> H. Aircraft Model <u>C500</u> I. Did Pilot Report NMAC? (1) <input type="checkbox"/> Yes (2) <input checked="" type="checkbox"/> No (3) <input type="checkbox"/> Unknown			
6. Type of Operation During NMAC (mark one per aircraft): Rptg Other A. <input type="checkbox"/> <input type="checkbox"/> U.S. Air Carrier (14 CFR 121 or 125) B. <input type="checkbox"/> <input type="checkbox"/> Foreign Air Carrier (14 CFR 129) C. <input type="checkbox"/> <input type="checkbox"/> Commuter (14 CFR 135) D. <input type="checkbox"/> <input type="checkbox"/> Air Taxi (14 CFR 135) E. <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> General Aviation (14 CFR 91) F. <input type="checkbox"/> <input type="checkbox"/> Public (governmental) G. <input type="checkbox"/> <input type="checkbox"/> U.S. Military, Specify Service _____ H. <input type="checkbox"/> <input type="checkbox"/> Unknown I. <input type="checkbox"/> <input type="checkbox"/> Other, Specify _____		7. Type of Flight Rules During NMAC (mark one per aircraft): Rptg Other A. <input type="checkbox"/> <input checked="" type="checkbox"/> Instrument Flight Rules (IFR) B. <input checked="" type="checkbox"/> <input type="checkbox"/> Visual Flight Rules (VFR) C. <input type="checkbox"/> <input type="checkbox"/> Special VFR D. <input type="checkbox"/> <input type="checkbox"/> Defense VFR E. <input type="checkbox"/> <input type="checkbox"/> Unknown		8. Phase(s) of Flight During NMAC (mark appropriate boxes): Rptg Other A. <input type="checkbox"/> <input type="checkbox"/> Takeoff B. <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> Climb C. <input type="checkbox"/> <input type="checkbox"/> Level Flight or Cruise D. <input type="checkbox"/> <input type="checkbox"/> Turning or Maneuvering E. <input type="checkbox"/> <input type="checkbox"/> Descent F. <input type="checkbox"/> <input type="checkbox"/> Approach G. <input type="checkbox"/> <input type="checkbox"/> Landing H. <input type="checkbox"/> <input type="checkbox"/> Unknown I. <input type="checkbox"/> <input type="checkbox"/> Other, Specify _____			
9. Location in Traffic Pattern During NMAC (mark one per aircraft): Rptg Other A. <input type="checkbox"/> <input type="checkbox"/> Upwind Leg B. <input checked="" type="checkbox"/> <input type="checkbox"/> Crosswind Leg C. <input type="checkbox"/> <input type="checkbox"/> Downwind Leg D. <input type="checkbox"/> <input type="checkbox"/> Base Leg E. <input type="checkbox"/> <input type="checkbox"/> Final Approach F. <input type="checkbox"/> <input checked="" type="checkbox"/> Departure Leg or Exit G. <input type="checkbox"/> <input type="checkbox"/> Not in Traffic Pattern H. <input type="checkbox"/> <input type="checkbox"/> Unknown I. <input type="checkbox"/> <input type="checkbox"/> Other, Specify _____		10. Aircraft Altitude During NMAC: A. Rptg <u>1 6 </u> , <u>5 0 0 </u> Feet msl or <input type="checkbox"/> Unknown B. Other <u>1 6 </u> , <u>6 5 0 </u> Feet msl or <input type="checkbox"/> Unknown 11. Approximate Aircraft Heading Before NMAC: A. Rptg <u>2 6 0 </u> Degrees (magnetic) or <input type="checkbox"/> Unknown B. Other <u>2 3 0 </u> Degrees (magnetic) or <input type="checkbox"/> Unknown		12. Transponder (mark one per aircraft): Rptg Other A. <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> Operating, With Altitude Reporting B. <input type="checkbox"/> <input type="checkbox"/> Operating, Without Altitude Reporting C. <input type="checkbox"/> <input type="checkbox"/> Not Functioning (broken or off) D. <input type="checkbox"/> <input type="checkbox"/> No Transponder E. <input type="checkbox"/> <input type="checkbox"/> Unknown			

Appendix 2

a. FAA Form 8020-21 (continued)

<p>13. TCAS Status:</p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th></th> <th>Yes</th> <th>Rptg No</th> <th>Unk</th> <th>Yes</th> <th>Other No</th> <th>Unk</th> </tr> </thead> <tbody> <tr> <td>A. Was the Aircraft Equipped With TCAS?</td> <td><input type="checkbox"/></td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td>B. If Yes, Was TCAS Operating During NMAC?</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td>C. If Yes, Was TCAS Involved in NMAC?</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td>D. If Yes, Describe Involvement</td> <td colspan="6">_____</td> </tr> </tbody> </table>		Yes	Rptg No	Unk	Yes	Other No	Unk	A. Was the Aircraft Equipped With TCAS?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	B. If Yes, Was TCAS Operating During NMAC?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	C. If Yes, Was TCAS Involved in NMAC?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	D. If Yes, Describe Involvement	_____						<p>14. Evasive Action(s) Taken (mark appropriate boxes):</p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Rptg</th> <th>Other</th> <th></th> <th>Rptg</th> <th>Other</th> <th></th> </tr> </thead> <tbody> <tr> <td>A. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Right Turn</td> <td>G. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Accelerate</td> </tr> <tr> <td>B. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Left Turn</td> <td>H. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>None</td> </tr> <tr> <td>C. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Climb</td> <td>I. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Unknown</td> </tr> <tr> <td>D. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Descend</td> <td>J. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Other, Specify _____</td> </tr> <tr> <td>E. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Level Off</td> <td colspan="3">_____</td> </tr> <tr> <td>F. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Decelerate</td> <td colspan="3">_____</td> </tr> </tbody> </table>	Rptg	Other		Rptg	Other		A. <input type="checkbox"/>	<input type="checkbox"/>	Right Turn	G. <input type="checkbox"/>	<input type="checkbox"/>	Accelerate	B. <input type="checkbox"/>	<input type="checkbox"/>	Left Turn	H. <input type="checkbox"/>	<input type="checkbox"/>	None	C. <input type="checkbox"/>	<input type="checkbox"/>	Climb	I. <input type="checkbox"/>	<input type="checkbox"/>	Unknown	D. <input type="checkbox"/>	<input type="checkbox"/>	Descend	J. <input type="checkbox"/>	<input type="checkbox"/>	Other, Specify _____	E. <input type="checkbox"/>	<input type="checkbox"/>	Level Off	_____			F. <input type="checkbox"/>	<input type="checkbox"/>	Decelerate	_____		
	Yes	Rptg No	Unk	Yes	Other No	Unk																																																																								
A. Was the Aircraft Equipped With TCAS?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>																																																																								
B. If Yes, Was TCAS Operating During NMAC?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>																																																																								
C. If Yes, Was TCAS Involved in NMAC?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>																																																																								
D. If Yes, Describe Involvement	_____																																																																													
Rptg	Other		Rptg	Other																																																																										
A. <input type="checkbox"/>	<input type="checkbox"/>	Right Turn	G. <input type="checkbox"/>	<input type="checkbox"/>	Accelerate																																																																									
B. <input type="checkbox"/>	<input type="checkbox"/>	Left Turn	H. <input type="checkbox"/>	<input type="checkbox"/>	None																																																																									
C. <input type="checkbox"/>	<input type="checkbox"/>	Climb	I. <input type="checkbox"/>	<input type="checkbox"/>	Unknown																																																																									
D. <input type="checkbox"/>	<input type="checkbox"/>	Descend	J. <input type="checkbox"/>	<input type="checkbox"/>	Other, Specify _____																																																																									
E. <input type="checkbox"/>	<input type="checkbox"/>	Level Off	_____																																																																											
F. <input type="checkbox"/>	<input type="checkbox"/>	Decelerate	_____																																																																											
<p>15. Time Aircraft in Sight Before Closest Separation:</p> <p style="text-align: right;">Unknown</p> <p>A. Rptg <input type="checkbox"/> Seconds or <input type="checkbox"/></p> <p>B. Other <input type="checkbox"/> Seconds or <input checked="" type="checkbox"/></p>	<p>17. Operational Control Area of Reporting Aircraft During NMAC (mark a maximum of three):</p> <p>A. <input type="checkbox"/> Class A Airspace</p> <p>B. <input type="checkbox"/> Class B Airspace</p> <p>C. <input type="checkbox"/> Class C Airspace</p> <p>D. <input checked="" type="checkbox"/> Class D Airspace</p> <p>E. <input type="checkbox"/> Class E Airspace</p> <p>F. <input type="checkbox"/> Class G Airspace</p> <p>G. <input type="checkbox"/> Special Use Airspace, Specify _____</p> <p>H. <input type="checkbox"/> Within Terminal Radar Service Area</p> <p>I. <input type="checkbox"/> Towered Airport</p> <p>J. <input type="checkbox"/> Nontowered Airport</p> <p>K. <input type="checkbox"/> Unknown</p> <p>L. <input type="checkbox"/> Other, Specify _____</p>	<p>18. Location ID of Facility(ies) Providing Air Traffic Service during NMAC (complete appropriate boxes):</p> <p>A. <input type="checkbox"/> <input type="checkbox"/> ARTCC</p> <p>B. <input type="checkbox"/> <input type="checkbox"/> TRACON</p> <p>C. <input type="checkbox"/> <input type="checkbox"/> RAPCON, RATCF, or ARAC</p> <p>D. <input type="checkbox"/> <input type="checkbox"/> ATCT</p> <p>E. <input type="checkbox"/> <input type="checkbox"/> AFSS or FSS</p> <p>F. <input type="checkbox"/> <input type="checkbox"/> None</p> <p>G. <input type="checkbox"/> <input type="checkbox"/> Unknown</p> <p>H. <input type="checkbox"/> <input type="checkbox"/> Other, Specify _____</p>																																																																												
<p>16. Closest Proximity:</p> <p>A. <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Feet, Vertical or <input type="checkbox"/> Unknown</p> <p>B. <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Feet, Horizontal or <input type="checkbox"/> Miles (nautical), <input type="checkbox"/> <input type="checkbox"/> Horizontal or <input type="checkbox"/> Unknown</p> <p>C. <input type="checkbox"/> <input type="checkbox"/> Minutes, Longitudinal or <input type="checkbox"/> Unknown</p>	<p>19. Immediately Before NMAC, Air Traffic Control (mark appropriate boxes):</p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Rptg</th> <th>Other</th> <th></th> </tr> </thead> <tbody> <tr> <td>A. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Experienced Radar Outage or Other Problems</td> </tr> <tr> <td>B. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Experienced Communication Outage or Other Problems</td> </tr> <tr> <td>C. <input checked="" type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Observed Traffic in Vicinity of Aircraft</td> </tr> <tr> <td>D. <input type="checkbox"/></td> <td><input checked="" type="checkbox"/></td> <td>Issued a Traffic Advisory</td> </tr> <tr> <td>E. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Issued a Safety Alert</td> </tr> <tr> <td>F. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Not in Contact With Aircraft</td> </tr> <tr> <td>G. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Unknown</td> </tr> <tr> <td>H. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>None of the Above</td> </tr> </tbody> </table>		Rptg	Other		A. <input type="checkbox"/>	<input type="checkbox"/>	Experienced Radar Outage or Other Problems	B. <input type="checkbox"/>	<input type="checkbox"/>	Experienced Communication Outage or Other Problems	C. <input checked="" type="checkbox"/>	<input type="checkbox"/>	Observed Traffic in Vicinity of Aircraft	D. <input type="checkbox"/>	<input checked="" type="checkbox"/>	Issued a Traffic Advisory	E. <input type="checkbox"/>	<input type="checkbox"/>	Issued a Safety Alert	F. <input type="checkbox"/>	<input type="checkbox"/>	Not in Contact With Aircraft	G. <input type="checkbox"/>	<input type="checkbox"/>	Unknown	H. <input type="checkbox"/>	<input type="checkbox"/>	None of the Above																																																	
Rptg	Other																																																																													
A. <input type="checkbox"/>	<input type="checkbox"/>	Experienced Radar Outage or Other Problems																																																																												
B. <input type="checkbox"/>	<input type="checkbox"/>	Experienced Communication Outage or Other Problems																																																																												
C. <input checked="" type="checkbox"/>	<input type="checkbox"/>	Observed Traffic in Vicinity of Aircraft																																																																												
D. <input type="checkbox"/>	<input checked="" type="checkbox"/>	Issued a Traffic Advisory																																																																												
E. <input type="checkbox"/>	<input type="checkbox"/>	Issued a Safety Alert																																																																												
F. <input type="checkbox"/>	<input type="checkbox"/>	Not in Contact With Aircraft																																																																												
G. <input type="checkbox"/>	<input type="checkbox"/>	Unknown																																																																												
H. <input type="checkbox"/>	<input type="checkbox"/>	None of the Above																																																																												
<p>20. Other Report(s) or To Be Filed by Air Traffic (mark appropriate boxes and complete; list HATR's, etc., under Item 22):</p> <p>A. <input type="checkbox"/> Incident Report (FAA Form 8020-11), Specify No(s). _____</p> <p>B. <input checked="" type="checkbox"/> Preliminary Pilot Deviation Report (FAA Form 8020-17), Specify No(s). _____ PNMTAPA95007</p> <p>C. <input type="checkbox"/> Preliminary Operational Error/Deviation Report (FAA Form 7210-2.1), Specify No(s). _____</p> <p>D. <input type="checkbox"/> Other (including TCAS), Specify _____</p> <p>E. <input type="checkbox"/> None</p>																																																																														
<p>21. Brief Description of NMAC and Comments (comments optional):</p> <p><u>Aircraft #1 had been operating in right closed pattern for runway 17R. Just prior to the incident, aircraft #1 was instructed to start a right turn onto the crosswind leg of the traffic pattern. Aircraft #1 then heard aircraft #2 being asked whether he had aircraft #1 in sight. Aircraft #2 replied that he did. Aircraft #2 was then told to make a right turn on course southwest bound. Shortly thereafter, aircraft #2 flew over aircraft #1.</u></p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>																																																																														

a. FAA Form 8020-21 (continued)

<div style="display: inline-block; text-align: center;"> PRELIMINARY NEAR MIDAIR COLLISION REPORT </div>		Incident Report Number										
N		N	M	T	A	P	A	9	5	0	0	1

22. Attachments (specify, e.g., pilot statement or flight progress strip, or mark box): ☐ No Attachments

23. Reporting Facility: A. <u>A</u> <u>N</u> <u>M</u> FAA Region B. <u>A</u> <u>P</u> <u>A</u> Location ID C. <u>3</u> <u>0</u> <u>3</u> - <u>7</u> <u>9</u> <u>0</u> - <u>2</u> <u>4</u> <u>4</u> <u>9</u> Telephone Number	24. Name of Individual Completing Form: <u>Jane Smith</u> (Type or Print)
25. Facility Manager Approving Form: A. Signature <u>John Smith</u> B. Name (Type or Print) <u>John Smith</u> C. Date <u>0</u> <u>8</u> <u>2</u> <u>7</u> <u>9</u> <u>5</u> M M D D Y Y	26. Report Distributed to: A. FAA Region <u>A</u> <u>N</u> <u>M</u> Flight Standards ID <u>0</u> <u>3</u> B. Others, Specify <u>ANM-200</u> , <u>ANM-500</u> , <u>ATX-400</u>

INSTRUCTIONS

I. General

The incident report number and Items 1, 2, 3, 4E and/or F, 4G, 5E and/or F, 5G, 7, 10, and 21 of FAA Form 8020-21 must be completed and the information transmitted or arrangements made to transmit it in numerical order within 3 hours of the NMAC notification by: (1) telephone, facsimile, or in accordance with a regional agreement to the FSDO with jurisdiction over the area in which the pilot deviation occurred; and (2) by National Airspace Data Interchange Network (NADIN) message using immediate (DD) precedence to FAA headquarters and others. If the NMAC is significant, the above information should be communicated immediately by telephone to FAA headquarters. The remainder of the form must be completed and mailed by first class mail within 10 calendar days of the notification of a NMAC. The definition of a NMAC and instructions on distribution of FAA Form 8020-21 are in FAA Order 8020.11, "Aircraft Accident and Incident Notification, Investigation, and Reporting."

If both aircraft involved in the NMAC report the event, designate the first reporting aircraft as "Rptg" and the second as "Other." If more than two aircraft are involved (except for formations when one form should be completed for the entire formation), complete an additional form(s) and assign the form(s) the same incident report number as the primary form. Report the number of forms and which form is the primary form in Item 21.

Complete all items. If the categories given are inadequate, complete "Other, Specify." If data for both the reporting and other aircraft appear under "Other, Specify," provide the reporting aircraft data first, followed by the other aircraft data. Provide comments in Item 21, not the margins. Sign and date the form (Item 25) before distribution.

II. Incident Report Number

Each facility completing FAA Form 8020-21 is responsible for assigning a unique 12-character number to each reported NMAC. The first character is **N**, for NMAC. The second and third characters are the abbreviation of the FAA region in which the incident occurred:

AL - Alaskan	NE - New England
CE - Central	NM - Northwest Mountain
EA - Eastern	SO - Southern
GL - Great Lakes	SW - Southwest
WP - Western-Pacific	

The fourth character identifies the type of facility completing the form:

C - ARTCC	R - TRACON
F - AFSS or FSS	T - ATCT
Z - FSDO or Other	

For combined TRACON and ATCT operations, use the character for the TRACON or ATCT reporting the pilot deviation.

The fifth through seventh characters are the facility location identifier (see FAA Order 7350.6), e.g., **ZNY**; or FSDO ID, e.g., **025**. The eighth and ninth characters are the calendar year in which the incident occurred, e.g., **95** for 1995.

The last three characters are the sequential incident report number for the year, by reporting facility and type of incident (e.g., pilot deviations would be numbered **001** to **999** in 1995 at a given facility).

III. Abbreviations

The following abbreviations are used:

AFSS	- Automated Flight Service Station
ARAC	- Army Radar Approach Control
ARTCC	- Air Route Traffic Control Center
ATCT	- Airport Traffic Control Tower
CFR	- Code of Federal Regulations
FSDO	- Flight Standards District Office
FSS	- Flight Service Station
GPS	- Global Positioning System
HATR	- Hazardous Air Traffic Report
MSL	- Mean Sea Level
NDB	- Nondirectional Beacon
RAPCON	- Radar Approach Control
RATCF	- Radar Air Traffic Control Facility
TACAN	- Tactical Air Navigation
TCAS	- Traffic Alert and Collision Avoidance System
TRACON	- Terminal Radar Approach Control
VOR	- Very High Frequency Omnidirectional Range Station

Appendix 2

b. FAA Form 8020-17, Preliminary Pilot Deviation Report

PRELIMINARY PILOT DEVIATION REPORT		Incident Report Number											
		P	S	W	C	Z	H	U	9	5	0	0	2
Complete and distribute according to instructions on page 3. Complete Items 1 to 9 and 27 to 33 for all deviations. If surface deviation, also complete Items 10 to 14; if air deviation, also complete items 15 to 26. Complete the form by hand or typewriter.													
1. Date, Time, and Location of Deviation:		2. Pilot Information (complete or mark box): <input checked="" type="checkbox"/> All Information Unknown				3. Deviation First Detected by (mark one):							
A. Date (Coordinated Universal Time-UTC) 0 2 2 5 9 5 M M D D Y Y		A. Name and Address Name (first, middle, last) Address City State or County Zip				A. <input type="checkbox"/> Error Detection Program (EDP) B. <input type="checkbox"/> Radar Observation (excludes EDP) C. <input type="checkbox"/> Visual Observation (tower) D. <input type="checkbox"/> AFSS or FSS E. <input checked="" type="checkbox"/> Public, Including Pilots F. <input type="checkbox"/> Other, Specify _____							
B. UTC Time 1 4 2 0		B. Daytime Telephone Number - -											
C. Local Time 0 8 2 0		C. Pilot Certificate No. (or enter "MILITARY") 											
D. Nearest City or Town and State Lufkin, TX													
4. Aircraft Information (complete or mark box): <input type="checkbox"/> All Information Unknown				5. Type of Operation at Time of Deviation (mark one):									
A. Registration (N) No. N 4 7 4 2 6				A. <input type="checkbox"/> U.S. Air Carrier (14 CFR 121 or 125) F. <input type="checkbox"/> Public (governmental)									
B. Flight No. or Call Sign (if applicable) _____				B. <input type="checkbox"/> Foreign Air Carrier (14 CFR 129) G. <input type="checkbox"/> U.S. Military, Specify Service _____									
C. Make Piper				C. <input type="checkbox"/> Commuter (14 CFR 135) _____									
D. Model PA28				D. <input type="checkbox"/> Air Taxi (14 CFR 135) H. <input type="checkbox"/> Unknown									
				E. <input checked="" type="checkbox"/> General Aviation (14 CFR 91) I. <input type="checkbox"/> Other, Specify _____									
6. Type of Flight Rules at Time of Deviation (mark one):				7. Phase(s) of Flight When Deviation Occurred (mark appropriate boxes):									
A. <input checked="" type="checkbox"/> Instrument Flight Rules (IFR)				A. <input type="checkbox"/> Taxi E. <input type="checkbox"/> Turning or Maneuvering I. <input type="checkbox"/> Unknown									
B. <input type="checkbox"/> Visual Flight Rules (VFR)				B. <input type="checkbox"/> Takeoff F. <input type="checkbox"/> Descent J. <input type="checkbox"/> Other, Specify _____									
C. <input type="checkbox"/> Special VFR				C. <input type="checkbox"/> Climb G. <input checked="" type="checkbox"/> Approach _____									
D. <input type="checkbox"/> Defense VFR				D. <input type="checkbox"/> Level Flight or Cruise H. <input type="checkbox"/> Landing _____									
E. <input type="checkbox"/> Unknown													
8. Number of Aircraft Involved (provide data on any aircraft not listed in Item 4):												9. Type of Deviation(s) (mark appropriate boxes):	
A. <input type="checkbox"/> One Aircraft N No. Flight No. or Call Sign (if applicable) Make Model												A. <input type="checkbox"/> Surface (complete items 10 to 14 and 27 to 33)	
B. <input checked="" type="checkbox"/> Two F. N 2 9 9 F P N/A N/A												B. <input checked="" type="checkbox"/> Air (complete items 15 to 33)	
C. <input type="checkbox"/> Three G.													
D. <input type="checkbox"/> Four or More H.													
E. <input type="checkbox"/> Unknown I.													
10. Type of Control at Surface Deviation Location (mark one):				11. Airport ID at Surface Deviation Location:				12. Surface Deviation Type(s) (mark appropriate boxes):					
A. <input type="checkbox"/> Operating Control Tower								A. <input type="checkbox"/> Takeoff Without Clearance					
B. <input type="checkbox"/> Nonoperating Control Tower								B. <input type="checkbox"/> Takeoff on Wrong Runway or Taxiway					
C. <input type="checkbox"/> None, Nontowered Public Airport								C. <input type="checkbox"/> Landed Without Clearance					
D. <input type="checkbox"/> None, Private Airport								D. <input type="checkbox"/> Landed or Takeoff Below Weather Minimums					
E. <input type="checkbox"/> Unknown								E. <input type="checkbox"/> Landed on Wrong Runway, Taxiway, or Airport					
								F. <input type="checkbox"/> Entered Runway or Taxiway Without Clearance					
								G. <input type="checkbox"/> Careless or Reckless Aircraft Operation					
								H. <input type="checkbox"/> Did Not Close Flight Plan					
								I. <input type="checkbox"/> Other, Specify _____					
13. Loss of Separation With (mark appropriate boxes):				14. Closest Proximity Was (mark one):				If Surface Deviation Only, Skip to Item 27		15. Location in Traffic Pattern During Deviation (mark one):			
A. <input type="checkbox"/> Ground Vehicle				A. <input type="checkbox"/> Under 100 Feet						A. <input type="checkbox"/> Upwind			
B. <input type="checkbox"/> Personnel				B. <input type="checkbox"/> 100-499 Feet						B. <input type="checkbox"/> Crosswind			
C. <input type="checkbox"/> Another Aircraft on Ground				C. <input type="checkbox"/> 500-1,000 Feet						C. <input type="checkbox"/> Entry or Downwind Leg			
D. <input type="checkbox"/> Another Aircraft in Air				D. <input type="checkbox"/> Over 1,000 Feet						D. <input type="checkbox"/> Base Leg			
E. <input type="checkbox"/> Obstruction				E. <input type="checkbox"/> Not applicable						E. <input checked="" type="checkbox"/> Final Approach			
F. <input type="checkbox"/> Not Applicable				F. <input type="checkbox"/> Unknown						F. <input type="checkbox"/> Departure Leg or Exit			
G. <input type="checkbox"/> Unknown										G. <input type="checkbox"/> Not in Traffic Pattern			
										H. <input type="checkbox"/> Unknown			
										I. <input type="checkbox"/> Other, Specify _____			

<p>16. Aircraft Altitude When Deviation Detected:</p> <p>A. <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> , <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> Feet msl</p> <p>B. <input checked="" type="checkbox"/> Unknown</p>	<p>17. Transponder (mark one):</p> <p>A. <input type="checkbox"/> Operating, With Altitude Reporting</p> <p>B. <input type="checkbox"/> Operating, Without Altitude Reporting</p> <p>C. <input type="checkbox"/> Not Functioning (broken or off)</p> <p>D. <input type="checkbox"/> No Transponder</p> <p>E. <input checked="" type="checkbox"/> Unknown</p>	<p>18. Was the Aircraft Equipped with TCAS?</p> <p>A. (1) <input type="checkbox"/> Yes (2) <input checked="" type="checkbox"/> No (3) <input type="checkbox"/> Unknown</p> <p>B. If Yes, was TCAS Operating During Deviation?</p> <p>(1) <input type="checkbox"/> Yes (2) <input type="checkbox"/> No (3) <input type="checkbox"/> Unknown</p> <p>C. If Yes, was TCAS Involved in Deviation?</p> <p>(1) <input type="checkbox"/> Yes (2) <input type="checkbox"/> No (3) <input type="checkbox"/> Unknown</p> <p>D. If Yes, Describe Involvement: _____</p>
<p>19. Fix or Facility Nearest Deviation (complete one):</p> <p>A. <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> VOR, TACAN or NBD ID</p> <p>B. <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> Airport ID</p> <p>C. <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> Airway Intersection ID</p> <p>D. <input type="checkbox"/> Oceanic Airspace or Area Navigation (GPS, Loran, etc.)</p>	<p>20. Deviation Location in Respect to Item 19 (complete A & B or C & D):</p> <p>A. <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> Miles (nautical)</p> <p>B. <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> Degrees (magnetic)</p> <p>For Oceanic Airspace and Area Navigation Only:</p> <p>C. <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> ° <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> ' Latitude</p> <p>D. <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> ° <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> ' Longitude</p>	<p>21. Operational Control Area of Aircraft (mark a maximum of three):</p> <p>A. <input type="checkbox"/> Class A Airspace</p> <p>B. <input type="checkbox"/> Class B Airspace</p> <p>C. <input type="checkbox"/> Class C Airspace</p> <p>D. <input checked="" type="checkbox"/> Class D Airspace</p> <p>E. <input type="checkbox"/> Class E Airspace</p> <p>F. <input type="checkbox"/> Class G Airspace</p> <p>G. <input type="checkbox"/> Special Use Airspace, Specify _____</p> <p>H. <input type="checkbox"/> Within Terminal Radar Service Area</p> <p>I. <input checked="" type="checkbox"/> Towered Airport</p> <p>J. <input type="checkbox"/> Nontowered Airport</p> <p>K. <input type="checkbox"/> Unknown</p> <p>L. <input type="checkbox"/> Other, Specify _____</p>
<p>22. Location ID of Facility(ies) Providing Air Traffic Service During Deviation (complete appropriate boxes):</p> <p>A. <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> ARTCC</p> <p>B. <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> TRACON</p> <p>C. <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> RAPCON, RATCF, or ARAC</p> <p>D. <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> ATCT</p> <p>E. <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> AFSS or FSS</p> <p>F. <input type="checkbox"/> None</p> <p>G. <input type="checkbox"/> Unknown</p> <p>H. <input type="checkbox"/> Other, Specify _____</p>		
<p>23. Primary Information Indicates the Air Deviation Type Was (mark appropriate boxes):</p> <p>A. <input type="checkbox"/> ATC Altitude Clearance Deviation</p> <p>B. <input type="checkbox"/> ATC Course Clearance Deviation</p> <p>C. <input type="checkbox"/> Airspeed Clearance Violation</p> <p>D. <input checked="" type="checkbox"/> Airspace Clearance Violation</p> <p>E. <input checked="" type="checkbox"/> Flying VFR when IFR Required</p> <p>F. <input type="checkbox"/> Pilot Unqualified for Aircraft or Conditions</p> <p>G. <input type="checkbox"/> Required Aircraft Equipment Not Operating</p> <p>H. <input type="checkbox"/> Careless or Reckless Aircraft Operation</p> <p>I. <input type="checkbox"/> Unauthorized Low Level Flying</p> <p>J. <input type="checkbox"/> Missed Compulsory Reporting Point</p> <p>K. <input type="checkbox"/> Noncompliance with Other Regulations (specify FAR number(s)): _____</p> <p>(1) <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> (2) <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/></p>		
<p>24. Preliminary Information Indicates the Airspace Violation Was of (mark one):</p> <p>A. <input type="checkbox"/> Class A Airspace</p> <p>B. <input type="checkbox"/> Class B Airspace</p> <p>C. <input type="checkbox"/> Class C Airspace</p> <p>D. <input checked="" type="checkbox"/> Class D Airspace</p> <p>E. <input type="checkbox"/> Class E Airspace</p> <p>F. <input type="checkbox"/> Special Use Airspace, Specify _____</p> <p>G. <input type="checkbox"/> None</p> <p>H. <input type="checkbox"/> Unknown</p> <p>I. <input type="checkbox"/> Other, Specify _____</p>		
<p>25. If ATC Altitude or Course Clearance Deviation, Maximum Deviation Was:</p> <p><input checked="" type="checkbox"/> No Clearance Deviation</p> <p>A. <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> , <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> Feet, Vertical or <input type="checkbox"/> Unknown</p> <p>B. <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> , <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> Feet, Horizontal</p> <p>or <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> • <input type="text"/> <input type="text"/> Miles (nautical), Horizontal or <input type="checkbox"/> Unknown</p>	<p>26. If There Was Loss of Separation, Closest Proximity Was:</p> <p><input checked="" type="checkbox"/> No Loss of Separation</p> <p>A. <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> , <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> Feet, Vertical or <input type="checkbox"/> Unknown</p> <p>B. <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> , <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> Feet, Horizontal</p> <p>or <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> • <input type="text"/> <input type="text"/> Miles (nautical), Horizontal or <input type="checkbox"/> Unknown</p> <p>C. <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> Minutes, Longitudinal or <input type="checkbox"/> Unknown</p>	
<p>27. Other Reports Filed or to be Filed (mark appropriate boxes and complete):</p> <p>A. <input type="checkbox"/> Incident Report (FAA Form 8020-11), Specify No(s). _____</p> <p>B. <input type="checkbox"/> Preliminary Near Midair Collision Report (FAA Form 8020-21), Specify No(s). _____</p> <p>C. <input type="checkbox"/> Preliminary Operational Error/Deviation Report (FAA Form 7210-2.1), Specify No(s). _____</p> <p>D. <input type="checkbox"/> Other (including TCAS), Specify _____</p> <p>E. <input checked="" type="checkbox"/> None</p>		
<p>28. Brief Description of Deviation and Comments (comments optional):</p> <p><u>N299FP on ground at LFK, departing on an IFR clearance. The pilot requested information from ZHU concerning aircraft operating in area in IFR conditions. The aircraft (N47426, PA28) was over Lufkin VOR inbound. Flight was conducted in a Class D airspace when weather mini-</u> <u>muers were below VFR without clearance.</u></p>		

Appendix 2

b. FAA Form 8020-17 (continued)

PRELIMINARY PILOT DEVIATION REPORT (continued)	Incident Report Number										
	P	S	W	C	Z	H	U	9	5	0	0

28. Brief Description of Deviation and Comments (*continued*):

29. Attachments (*specify, e.g., pilot statement or flight progress strip, or mark box*): ☒ No Attachments

<p>30. Reporting Office:</p> <p>A. <u>A S W</u> FAA Region</p> <p>B. <u>Z H U</u> Location ID</p> <p>C. <u>2 1 4</u> - <u>2 4 8</u> - <u>3 9 0 0</u> Telephone No.</p>	<p>31. Name of Individual Completing Form:</p> <p style="text-align: center;"><u>C. Buckner</u></p> <p>Type or Print</p>
<p>32. Facility Manager Approving Form:</p> <p>A. Signature <u>John T. Adams</u></p> <p>B. Name <u>John T. Adams</u> Type or Print</p> <p>C. Date <u>0 2 0 2 9 5</u> M M D D Y Y</p>	<p>33. Report Distributed to:</p> <p>A. FAA Region <u>A S W</u> Flight Standards ID <u>6 4</u></p> <p>B. Others, Specify <u>ASW-200</u></p> <p style="margin-left: 40px;"><u>ASW-500</u></p> <p style="margin-left: 40px;"><u>ATX-400</u></p>

INSTRUCTIONS

I. General

The incident report number and Items 1, 4, 6, 16, and 28 of FAA Form 8020-17 must be completed and the information transmitted or arrangements made to transmit it in numerical order within 3 hours of the detection of a pilot deviation by: (1) telephone, facsimile, or in accordance with a regional agreement to the FSDO with jurisdiction over the area in which the pilot deviation occurred; and (2) by National Airspace Data Interchange Network (NADIN) message using immediate (DD) precedence to FAA headquarters and others. If the pilot deviation is significant, the above information should be communicated immediately by telephone to FAA headquarters. The remainder of the form must be completed and mailed by first class mail within 10 calendar days of the pilot deviation. The definition of a pilot deviation and instructions on distribution of FAA Form 8020-17 are in FAA Order 8010-11, "Aircraft Accident and Incident Notification, Investigation, and Reporting."

If a pilot deviation resulted in a near midair collision, FAA Form 8020-17 and FAA Form 8020-21, "Preliminary Near Midair Collision Report," both must be completed and distributed. Assign the two reports different incident report numbers.

Complete Items 1 to 9 and 27 to 33 for all deviations; if surface deviation, also complete Items 10 to 14; if air deviation, also complete Items 15 to 26. If the categories given are inadequate, complete "Other, Specify." Provide comments in Item 28, not the margins. Sign and date the form (Item 32) before distribution.

II. Incident Report Number

Each facility completing FAA Form 8020-17 is responsible for assigning a unique 12-character number to each reported pilot deviation. The first character is **P**, for Pilot Deviation. The second and third characters are the abbreviation of the FAA region in which the deviation occurred:

AL - Alaskan	NE - New England
CE - Central	NM - Northwest Mountain
EA - Eastern	SO - Southern
GL - Great Lakes	SW - Southwest
WP - Western-Pacific	

The fourth character identifies the type of facility completing the form:

C - ARTCC	R - TRACON
F - AFSS or FSS	T - ATCT
Z - FSDO or Other	

For combined TRACON and ATCT operations, use the character for the TRACON or ATCT reporting the pilot deviation.

The fifth through seventh characters are the facility location identifier (see FAA Order 7350.6), e.g., **ZNY**; or FSDO ID, e.g., **025**. The eighth and ninth characters are the calendar year in which the incident occurred, e.g., **95** for 1995.


The last three characters are the sequential incident report number for the year, by reporting facility and type of incident (e.g., pilot deviations would be numbered **001** to **999** in 1995 at a given facility).

III. Abbreviations

The following abbreviations are used:

AFSS	- Automated Flight Service Station
ARAC	- Army Radar Approach Control
ARTCC	- Air Route Traffic Control Center
ATCT	- Airport Traffic Control Tower
CFR	- Code of Federal Regulations
FSDO	- Flight Standards District Office
FSS	- Flight Service Station
GPS	- Global Positioning System
HATR	- Hazardous Air Traffic Report
MSL	- Mean Sea Level
NDB	- Nondirectional Beacon
RAPCON	- Radar Approach Control
RATCF	- Radar Air Traffic Control Facility
TACAN	- Tactical Air Navigation
TCAS	- Traffic Alert and Collision Avoidance System
TRACON	- Terminal Radar Approach Control
VOR	- Very High Frequency Omnidirectional Range Station

c. FAA Form 8020-19, Reclassification of Aviation Incident Report

 RECLASSIFICATION OF AVIATION INCIDENT REPORT	
Complete this form to reclassify a preliminary incident report (FAA Forms 8020-17 or 8020-21) or to correct a report number on those forms. Complete all items and forward in accordance with the instructions below and in FAA Order 8020.11, "Aircraft Accident and Incident Notification, Investigation, and Reporting." Complete the form by hand or typewriter.	
<p>1. Original Incident Report Number From FAA Forms 8020-17 or 8020-21: N N M T A P A 9 5 0 0 1 </p> <p>2. Date and Time of Incident:</p> <p>A. Date (Coordinated Universal Time-UTC) 0 1 1 1 9 9 5 <small>M M D D Y Y</small></p> <p>B. UTC Time 0 1 3 6 </p> <p>C. Local Time 1 8 3 6 </p> <p>D. Nearest City or Town and State <u>Englewood, CO</u></p> <p>3. Reclassifying Facility or Office:</p> <p>A. FAA Region A N M </p> <p>B. Location ID (<i>complete one</i>):</p> <p>(1) Air Traffic Control (e.g., ZNY) A P A </p> <p>(2) Flight Standards (e.g., 25) </p> <p>4. Incident Reclassified as (<i>mark one</i>):</p> <p>A. <input type="checkbox"/> Operational Error or Deviation (<i>complete Item 5A</i>)</p> <p>B. <input type="checkbox"/> Pilot Deviation (<i>complete Item 5B</i>)</p> <p>C. <input checked="" type="checkbox"/> Report Number Correction (<i>complete Item 5B</i>)</p> <p>D. <input type="checkbox"/> Insufficient Evidence to Investigate (<i>complete Item 5C</i>)</p> <p>E. <input type="checkbox"/> No Incident (<i>complete Item 5D</i>)</p> <p>F. <input type="checkbox"/> Other, Specify _____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p>5. New Incident Report Number (<i>complete one</i>):</p> <p>A. Operational Error or Deviation </p> <p>B. Pilot Deviation or Near Midair Collision N N M T A P A 9 5 0 0 2 </p> <p>C. <input type="checkbox"/> Reclassified as "Insufficient Evidence to Investigate"</p> <p>D. <input type="checkbox"/> Reclassified as "No Incident"</p> <p>E. <input type="checkbox"/> Not Applicable</p> <p>6. Reclassification Reason and Comments (<i>comments optional</i>):</p> <p>_____</p> <p>Number assigned previously _____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>7. Facility Manager or Inspector Approving Form:</p> <p>A. Signature <u>John Smith</u></p> <p>B. Name <u>John Smith</u> <small>Type or Print</small></p> <p>C. Date 0 3 1 3 9 5 <small>M M D D Y Y7</small></p> <p>8. Report Distributed to:</p> <p>A. ATX-400</p> <p>B. Others, List</p> <p><u>ANM-03</u></p> <p><u>ANM-200</u></p> <p><u>ANM-500</u></p> <p>_____</p> <p>_____</p> <p>_____</p>
INSTRUCTIONS	
<div style="display: flex; justify-content: space-between;"> <div style="width: 48%;"> <p>Reclassification of an incident should be based on new or additional information that was not available when the preliminary report was filed. Air Traffic Control will only use this form to correct a report number. An investigative report does not have to be completed for an incident that is reclassified as "Insufficient Evidence to Investigate" or "No Incident."</p> </div> <div style="width: 48%;"> <p>The distribution of the completed FAA Form 8020-19 should be the same as for the corresponding preliminary incident report. Forward copies to the organization responsible for the incident investigation and to the organizations that received the preliminary report, including ATX-400. Sign and date the form (Item 7) before distribution.</p> </div> </div>	


Appendix 2

d. FAA Form 8020-11, Incident Report

 U.S. DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION INCIDENT REPORT		
TO: FLIGHT STANDARDS DISTRICT OFFICE FEDERAL AVIATION ADMINISTRATION SCOTT PLAZA #2, 4 TH FLOOR PHILADELPHIA, PA 19113		FROM: MILLVILLE AUTOMATED FLIGHT SERVICE STATION FEDERAL AVIATION ADMINISTRATION BUILDING #100, MUNICIPAL AIRPORT MILLVILLE, NJ 08332-4881
The following is a description of a deviation/incident. It appeared advisable to prepare a formal record, and a copy is being forwarded to acquaint you with its particulars. It is requested that, as necessary, these details be brought to the attention of the pilot or other individuals involved. We hope that through review, recommendations leading toward action to prevent recurrence of incidents of this type will be obtained. No reply is required; however, the undersigned will be glad to answer any questions at your convenience. Any action you can take to assist the Air Traffic Service to provide more efficient service will be appreciated.		
TYPE OF INCIDENT	TIME OF INCIDENT	
STUCK MIKE	Date: MARCH 4, 1990	<input checked="" type="checkbox"/> DAY <input type="checkbox"/> NIGHT
INCIDENT NO.		MIV-AFSS-1
AGENCY/AIRCRAFT IDENTIFICATION N25301		
NAME(S) OF PERSONNEL OR PILOT PILOT UNKNOWN, IN-FLIGHT SPECIALIST BERRY, RUSS & FRANSKO, EDWARD		
SUMMARY OF INCIDENT		
<p>AT 1335Z AN UNKNOWN RADIO SIGNAL BLOCKED COMMUNICATIONS ON FREQUENCY 123.65. I WAS ADVISED OF THE SITUATION BY THE IN-FLIGHT SPECIALIST. HE REQUESTED ALL AIRCRAFT ON THE AFFECTED FREQUENCY SWITCH TO 122.65. I CONTACTED RAINBOW AVIATION AND REQUESTED THEY CHECK WITH AIRCRAFT AT THEIR OPERATION FOR A STUCK MIKE. AT 1345Z THE IN-FLIGHT SPECIALIST DETERMINED THE STUCK MIKE WAS N25301, WHO WAS DOING TOUCH AND GO'S AT MILLVILLE. AFTER REPEATED TRANSMISSIONS, HE WAS ABLE TO GET THE PILOT TO UNSTICK THE MIKE, THEREBY CLEARING THE FREQUENCY.</p> <p>SINCE THIS INCIDENT CREATED A POTENTIALLY HAZARDOUS SITUATION BY BLOCKING A BUSY FREQUENCY, I FEEL IT SHOULD BE BROUGHT TO THE ATTENTION OF THE AIRCRAFT OPERATOR (RAINBOW AVIATION), AND THE AIRCRAFT CHECKED AND REPAIRED TO AVOID A RECURRENCE.</p> <p>1350Z STUCK MIKE CLEARED.</p>		
REMARKS		
PERTINENT AUDIO TAPES AND FACILITY LOGS ARE ON FILE AT MILLVILLE AFSS. cc: RAINBOW AVIATION, MIV ARPT & PILOT COPY; AEA-542		
ATTACHMENTS	FORWARDED	
NONE	DATE 3/6/90	SIGNATURE OF FACILITY CHIEF <i>Charles Butler</i>

FAA Form 8020-11 (9-76)

e. FAA Form 8020-24, Preliminary Vehicle or Pedestrian Deviation Report

<div><div>PRELIMINARY VEHICLE OR PEDESTRIAN DEVIATION REPORT</div></div>		Incident Report Number V E A T Z Z I 9 9 0 0 1	
This form should be completed by air traffic control after observing a vehicle or pedestrian deviation (V/PD) or receiving a report of one. Complete and distribute according to the instructions on the back of page 3.			
<div>1. Date, Time, and Location of Deviation:</div> <div>A. Local Date <u>0 7 2 3 9 9 </u> M M D D Y Y</div> <div>B. UTC Time _____</div> <div>C. Local Time _____</div> <div>D. Airport ID at Surface Incident Location <u>Z Z I </u></div> <div>E. Nearest City or Town & State: <u>Hollidaysburg, PA</u></div>		<div>2. Type of Deviation (<i>Select one</i>):</div> <div>A. Vehicle (excludes bicycles; includes aircraft being repositioned; <i>Complete remainder of form EXCEPT Item 6</i>).</div> <div>B. <input checked="" type="checkbox"/> Pedestrian (includes bicycles; <i>Skip to Item 6 and complete remainder of form</i>)</div>	
<div>3. Vehicle Information (<i>Report bicycles in Item 6</i>):</div> <div>A. Type (<i>Select one</i>):</div> <div>1. Tug</div> <div>2. Baggage or Cargo Truck</div> <div>3. Fuel Truck</div> <div>4. Aircraft Being Relocated by Non-pilot</div> <div>5. Snow Removal Equipment</div> <div>6. Mower</div> <div>7. Construction Equipment</div> <div>8. Motorcycle</div> <div>9. Car (includes sport-utility vehicles)</div> <div>10. Other Trucks (includes buses, vans, etc.)</div> <div>11. Other, <i>Specify</i>: _____</div> <div>B. License/Tail No.: _____</div> <div>C. State of License: _____</div> <div>D. Call Sign, <i>if Applicable</i>: _____</div> <div>E. If Vehicle Was Escorted, <i>Specify</i>: _____</div>		<div>4. Vehicle Equipment and Communication with ATC (<i>Select one</i>):</div> <div>A. No Communication Equipment</div> <div>B. Two-way Radio Used</div> <div>C. Telephone Used</div> <div>D. Headlights Flashed</div> <div>E. Flashing Lights Operating on Vehicle</div> <div>F. Flag Flown</div> <div>G. Equipment Not Operational, <i>Specify Equipment</i>: _____</div> <div>H. Vehicle's Equipment Unknown</div> <div>I. Communication Difficulty With ATC, <i>Specify</i>: _____</div> <div>J. Unable to Start Vehicle</div> <div>K. Other, <i>Specify</i>: _____</div>	
<div>5. Driver Information:</div> <div>A. Name: _____</div> <div>B. Employed By:</div> <div>1. Airline</div> <div>2. Airport Employee 3. Tenant 4. Contractor</div> <div>5. FAA</div> <div>6. Military Branch</div> <div>7. Other Government</div> <div>8. Airline Passenger</div> <div>9. Airport Visitor</div> <div>10. Taxi/Limo Service</div> <div>11. General Aviation Pilot</div> <div>12. Unknown</div> <div>13. Other, <i>Specify</i>: _____</div> <div>C. Employer Name and Address, <i>if Applicable</i>: _____ _____ _____</div>		<div>6. Pedestrian Information (includes bicycles):</div> <div>A. Name: <u>Unknown</u></div> <div>B. Employed By:</div> <div>1. Airline</div> <div>2. Airport Employee 3. Tenant 4. Contractor</div> <div>5. FAA</div> <div>6. Military Branch</div> <div>7. Other Government</div> <div>8. Airline Passenger</div> <div>9. Airport Visitor</div> <div>10. Taxi/Limo Service</div> <div>11. General Aviation Pilot</div> <div>12. <input checked="" type="checkbox"/> Unknown</div> <div>13. Other, <i>Specify</i>: _____</div> <div>C. Employer Name and Address, <i>if Applicable</i>: _____ _____ _____</div> <div>D. Bicycle Used</div>	

Appendix 2

e. FAA Form 8020-24 (continued)

<p>7. A Piloted Aircraft Was Operating on the Runway When the V/PD Occurred (<i>Complete all that apply</i>):</p> <p>A. <input checked="" type="checkbox"/> Yes (<i>Complete Items 7C through 7H</i>)</p> <p>B. No (<i>Skip to Item 8</i>)</p> <p>C. Make: <u>Cessna</u></p> <p>D. Model: <u>172</u></p> <p>E. Flight No./Call Sign, <i>if applicable</i>: _____</p> <p>F. Tail No.: <u>N 2 1 3 1 Y </u></p> <p>G. Pilot's Name: <u>Steven Knight</u></p> <p>H. Pilot Accepted LAHSO Clearance</p>	<p>8. Environmental Conditions (<i>Complete all that apply</i>):</p> <p>A. <input checked="" type="checkbox"/> Bright Day</p> <p>B. Cloudy Day</p> <p>C. Bright Night</p> <p>D. Dark Night</p> <p>E. Rain () Light/Moderate () Heavy</p> <p>F. Thunderstorm</p> <p>G. Snowing () Light/Moderate () Heavy</p> <p>H. Freezing Rain</p> <p>I. Fog</p> <p>J. Snow on Pavement</p> <p>K. Slush</p> <p>L. Other, <i>Specify</i>: _____</p> <p>M. <input checked="" type="checkbox"/> Prevailing Visibility <u>20</u> statute miles Runway Visual Range _____ feet Runway Visibility Value _____ statute miles</p> <p>N. <input checked="" type="checkbox"/> Temperature, <i>Specify</i>: <u>78</u> Fahrenheit</p> <p>O. <input checked="" type="checkbox"/> Ceiling, <i>Specify</i>: <u>5000</u> feet</p>
<p>9. Deviation First Detected By (<i>Select one</i>):</p> <p>A. Tower Personnel Observation of:</p> <p>1) <input checked="" type="checkbox"/> Movement Area</p> <p>2) Airport Surface Detection Equipment (ASDE)</p> <p>B. ASDE with Airport Movement Area Safety System (AMASS)</p> <p>C. Airport Security</p> <p>D. Public, Including Pilot</p> <p>E. Other, <i>Specify</i>: _____</p>	<p>11. Deviation Occurred on the Following Movement Area(s) (<i>Mark all that apply. Describe pertinent non-movement areas in Item 19</i>):</p> <p>A. <input checked="" type="checkbox"/> Runway, <i>Specify No.</i>: <u>14</u></p> <p>B. <input checked="" type="checkbox"/> Taxiway, <i>Specify I.D.</i>: <u>E</u></p> <p>C. Intersection, <i>Specify I.D.</i>: _____</p> <p>D. Other Areas, <i>Specify</i>: _____</p>
<p>10. Surface Detection Equipment:</p> <p>A. <input checked="" type="checkbox"/> No Surface Detection Equipment at the Airport (<i>Skip to Item 11</i>)</p> <p>B. Equipment Was Operational (<i>Select one</i>):</p> <p>Yes No Unknown</p> <p>C. Equipment Was On (<i>Select one</i>):</p> <p>Yes No Unknown</p> <p>D. Movement Was Detected by Equipment (<i>Select one</i>):</p> <p>Yes No Unknown</p> <p>FOR ASDE/AMASS ONLY:</p> <p>E. There Was an Alert (<i>Select one</i>):</p> <p>Yes No Unknown</p> <p>F. There Was a Response to Alert (<i>Select one</i>):</p> <p>Yes No Unknown</p>	<p>12. Movement Area Had (<i>Mark all that apply</i>):</p> <p>A. Recent Runway or Taxiway Configuration Changes</p> <p>B. Construction Activity</p> <p>C. Portion Closed by Notice to Airmen, <i>Specify closed area</i>: _____</p> <p>D. Other, <i>Specify</i>: _____</p> <p>E. <input checked="" type="checkbox"/> None of the Above</p>
<p>13. Deviation Area Was Visible From the Tower (<i>Mark one</i>):</p> <p><input checked="" type="checkbox"/> Yes</p> <p>No</p> <p>Partially, <i>Specify</i>: _____</p>	<p>14. A Clearance Was Issued or Amended to Preclude a Loss of Separation or Collision Hazard (<i>Select one</i>):</p> <p><input checked="" type="checkbox"/> Yes, <i>Specify</i>: <u>Takeoff clearance canceled</u></p> <p>No</p>
<p>15. Did Pilot, Driver, or Pedestrian Take or Request an Evasive Action to Avoid a Collision Hazard (<i>Select one</i>):</p> <p><input checked="" type="checkbox"/> Yes</p> <p>No</p> <p>Unknown</p>	<p>16. Was There a Loss of Separation (<i>Select one</i>):</p> <p><input checked="" type="checkbox"/> Yes</p> <p>No</p>
<p>17. For Loss of Separation, the Closest Proximity Was:</p> <p>A. Horizontal <u>2000</u> feet</p> <p>B. Vertical <u>0</u> feet</p>	<p>18. Airport Management Notified of V/PD:</p> <p>A. Name (Airport Mgr. <u>Jennifer King</u>)</p> <p>B. Local Date: <u>0 7 2 3 9 9 </u> M M D D Y Y</p> <p>C. Local Time: <u>1300</u></p>

[illegible]

e. FAA Form 8020-24 (continued)

<p>20. Attachment(s):</p> <p>A. <input checked="" type="checkbox"/> Airport Diagram (REQUIRED)</p> <p>B. Other, <i>Specify</i>: _____</p>	<p>21. Individual Completing Form:</p> <p>A. Name: <u>Susan Shaffer</u> (TYPE or PRINT)</p> <p>B. Telephone No. <u>(718) 226 - 7689</u></p>
<p>22. Facility Manager Approving Form:</p> <p>A. Signature: <u>Sarah Meadows</u></p> <p>B. Name: <u>Sarah Meadows</u> (TYPE or PRINT)</p> <p>C. Date: <u>7-23-99</u></p>	<p>23. Report Distributed to:</p> <p>A. FAA Region: <u>A E A </u></p> <p>B. Division Offices:</p> <p><input checked="" type="checkbox"/> Airports</p> <p><input checked="" type="checkbox"/> Air Traffic</p> <p><input checked="" type="checkbox"/> Flight Standards (<i>only if 7A is checked</i>)</p> <p>C. Others: <input checked="" type="checkbox"/> Airport Manager ATX-400 AAS-300 AAT-210</p>

INSTRUCTIONS

I. General

The incident report number and Items 1, 2, 3A if applicable, 10, 11, 16, and 19 of FAA Form 8020-24 must be completed and information transmitted or arrangements made to transmit it in numerical order within 3 hours of the detection of a V/PD. Transmit by: (1) telephone, facsimile, or in accordance with regional agreement to the Airports division office with jurisdiction over the area in which the V/PD occurred; and (2) by National Airspace Data Interchange Network (NADIN) message using immediate (DD) precedence to FAA headquarters and others. If the V/PD is significant (e.g., involving air carriers, air taxis, or prominent persons), the above information should be communicated immediately by telephone to FAA headquarters. The form must be completed and mailed by first-class mail within 10 calendar days of the V/PD. The definition of a V/PD and instructions on distribution of FAA Form 8020-24 are in FAA Order 8020.11, Aircraft Accident and Incident Notification, Investigation, and Reporting. A V/PD that leads to an accident should also be reported as a V/PD using this form. If more than one vehicle or pedestrian was involved, file a single report based on the first vehicle or pedestrian involved in the deviation. Describe the other participants in Item 19.

If the categories given are inadequate, complete "Other, Specify." Sign and date the form (Item 22) before distribution.

II. Incident Report Number

Each facility completing FAA Form 8020-24 is responsible for assigning a unique 12-character number to each reported V/PD. The first character is **V**, for

V/PD. The second and third characters are the abbreviation of the FAA region in which the deviation occurred.

AL - Alaskan	GL - Great Lakes	SO - Southern
CE - Central	NE - New England	SW - Southwest
EA - Eastern	NM - Northwest Mountain	WP - Western- Pacific

The fourth character identifies the type of facility completing the form:

C - ARTCC **R** - TRACON **Z** - FSDO or Other
F - AFSS or FSS **T** - ATCT

For combined TRACON or ATCT operations, use the character for the TRACON or ATCT reporting the V/PD.

The fifth through seventh characters are the facility location identifier (e.g., ZNY). See the latest edition of Order 7350.6.

The eighth and ninth characters are the calendar year in which the V/PD occurred; e.g., 00 for 2000.

The last three characters are the sequential V/PD number for the year by reporting facility; e.g., V/PD's would be numbered 001 to 999 in 2000 at a given facility.

III. Abbreviations

The following abbreviations are used:

- AFSS - Automated Flight Service Station
- ARTCC - Air Route Traffic Control Center
- ATCT - Airport Traffic Control Center
- FSDO - Flight Standards District Office
- FSS - Flight Service Station
- TRACON - Terminal Radar Approach Control